

National Association for State Community Services Programs

2017 ANNUAL *TRAINING CONFERENCE*



Strategies for Success in State Plan Development



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WAP | 2017 Annual Training Conference | Biloxi, MS

About Alaska



Logistical Context



Timeframe: The Big Picture

- April to October:
 - Weatherization Operations Manual (WOM) updates
 - Work with Subgrantee contractor
 - Health and Safety Plan
 - Field Guide improvements and additions
 - Work with Subgrantee contractor
 - Field Monitoring
 - Meetings with Agencies
 - Work with HSS on LIHEAP
 - Email updates to PAC
 - Schedule Public Hearing-reserve room



Timeframe: Getting Serious

- November
 - Other AHFC Departments
 - Review WPN's
 - Talk to Program Officer
 - Projected DOE Timelines
 - New Initiatives Prior to WPN
 - Application Instructions-anything coming up?
 - Page-Setup new plan
 - Review Master File making changes
 - Budget spreadsheets based on estimated funds
 - Budget narratives



Timeframe: What I do on my Christmas Vacation

- December

- Double check to make sure room is reserved for Public Hearing
- Make sure you have a Transcriber to record the hearing
- Update your annual advertisement
- Complete detail of Master File
- Complete Budget details
- Have agencies review draft plan (can be in sections)
- Talk to agencies about training needs and responses to any WPN's
 - Often interpretation of rules is defined by the state in the state plan
 - Details on TTA expenditures



Timeframe: continued

- December (continued): WPN and guidance finally arrive
 - December 20-WPN Grant Guidance
 - Quickly read through to see if all is covered in the Master File
 - Complete Budget Categories
 - Complete Annual File
 - Budget vs. Annual File so your numbers add up
 - Try to complete draft plan before Christmas
 - Actually complete draft plan during the holidays
- Send out plan to PAC and agencies as soon as it's complete.



Master File

- Master File
 - Operations Manual is the source
 - The two must align
 - Many Categories are straightforward
 - V.5.1 Technical Guides and Materials-
 - V.5.2 Energy Audit Procedures
 - V.6 Analysis of Effectiveness
 - V.7 Health and Safety
 - V8.3 Monitoring Activities
 - V.8.4 TTA Approach and Activities



Annual File

- Annual File
 - Reconcile Budget with distribution to subgrantees
 - Check average cost per unit
 - Savings calculations



Annual File

- Annual File-CRITICAL!!!!
 - IV.7 Miscellaneous Changes to plan-no further public hearing
 - All information that is particular to current year
 - Key Personnel
 - Definitions
 - References to all manuals and guides
 - Statement of Pass-through to Subgrantees
 - Average Cost and Renewables
 - Public Hearings and Notification Processes-email and teleconference
 - Insurance Compliance
 - Disclaimers
 - Specific state interpretations of DOE requirements-no duct testing
 - **Spell out details in this area**



- Example
 - **CHANGES TO THE PLAN:** If further directives are issued from DOE regarding new requirements that must be included to receive a grant from DOE, and unless the change is so substantive that implementation would really differ from the what is proposed, then these changes will be adopted without further public hearing or PAC approval.
 - **MISCELLANEOUS-DOE** directives that must be in the plan.





- **EXAMPLE:**
 - **TECHNICAL DIAGNOSTIC TESTING REQUIREMENTS:** For all DOE homes, we will be running the required diagnostic testing as defined by the Quality Control Inspection (QCI) process) with the exception of the duct pressurization testing. This test will not be required by the state of Alaska but is allowed if an agency wants to conduct one. For the most part the duct systems are either inside the building envelope or will be brought in side during the weatherization work. Duct sealing is considered a priority where needed and pressure pan testing remains a requirement.



Budget

- Budget
 - Focus on the budget details
 - Personnel costs require some back and forth discussion.
 - Fringe rate-detailed breakout then round off
 - Travel and justification detail
 - Equipment-over \$5000
 - Contracts and Grants
 - Supplies-technical, publications, office, tools, meetings
 - Other-do not use this category typically



Budget Example: Travel

- Example Travel:
 - In state technical monitoring and assistance travel. This is the primary types of agency visits that we make in an effort to complete the minimum inspections of weatherized units. This includes QCI inspections both interim and final; as well as Program Monitoring with client file review as well.
 - 13 Trips at \$1525 each = \$19,825



Budget Example: Personnel

- Personnel
 - Salary= $\$70000 \times \% \text{TIME (25\%)} = \$17,500$
- Fringe
 - Pay= $\$17500 \times .70 = \$12,250$.
- Enter into Budget in PAGE



VERIFY VERIFY VERIFY



Budget Example

- Salaries and Fringe
 - Must detail fringe to Grants Division/Round Off for Calculation
 - Letter from Budget Director
 - Fringe sample (70.21%)
 - Medicare 1.45%
 - FICA 6.13%
 - PERS 22%
 - DIFF FICA AND MEDICARE .07%
 - LEAVE CASHS IN 2.55%
 - TERMINAL LEAVE 1.15%
 - DIFF IN MED INSUR. 15.84%
 - DIFF IN LIFE .22%
 - Medical 18%
 - LIFE .05%



Last Steps-Complete Plan in Page

- FINALLY CHECK ALL SECTIONS BEFORE YOU SUBMIT
 - Review with Application Instructions
 - Send a draft to your Program Officer
 - Make the final approved plan available to your subgrantees

Verify Verify Verify



Timeframe: Public Hearing Process

- January-
 - First week release plan and advertise (Jan 8, 2018)
 - Send plan by email to all stakeholders
 - Third week hold Public hearing and PAC meeting
 - Exec Directors of all agencies attend meeting (Jan 23, 2018)
 - Revise plan
 - Incorporate suggestions from Public Haring and comments into plan
 - Work with Project Officer on final touches-scan and send
- Submit Plan on February 1st



Timeframe: Approval Process Steps

- February and March
 - Review by Project Manager
 - 1-3 weeks
 - Looks specifically at the Master File and the Annual File
 - Checks the big budget picture
 - Review by Grants Manager
 - Looks more thoroughly at the detailed budget
 - Fringe Rates
 - Cost allocation-time allotted
 - Personnel-roles played
 - Plan Approval
 - Issue Grants prior to April 1st for April 1st start



Timeframe: Set Up Grants

- Set Up Grants
 - Internal Budget Process
 - Set up Grant Templates for each agency
 - Review everything with the agency directors
- Continue to work towards approval with DOE
 - Project Officer
 - Grants Officer
- When approval comes, the grants are issued.



Final Steps



THANK YOU
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Georgia Environmental Finance Authority



Energy Resources

- Georgia Energy Challenge
- Weatherization
- State Energy Program
- State Utilities Program
- Energy Assurance
- Performance Contracting
- State Energy Strategy



Land Conservation

- Land purchase financing
- Conservation easements
- Tax credits

Fuel Tank Program

- Remediation
- Monitoring
- Training



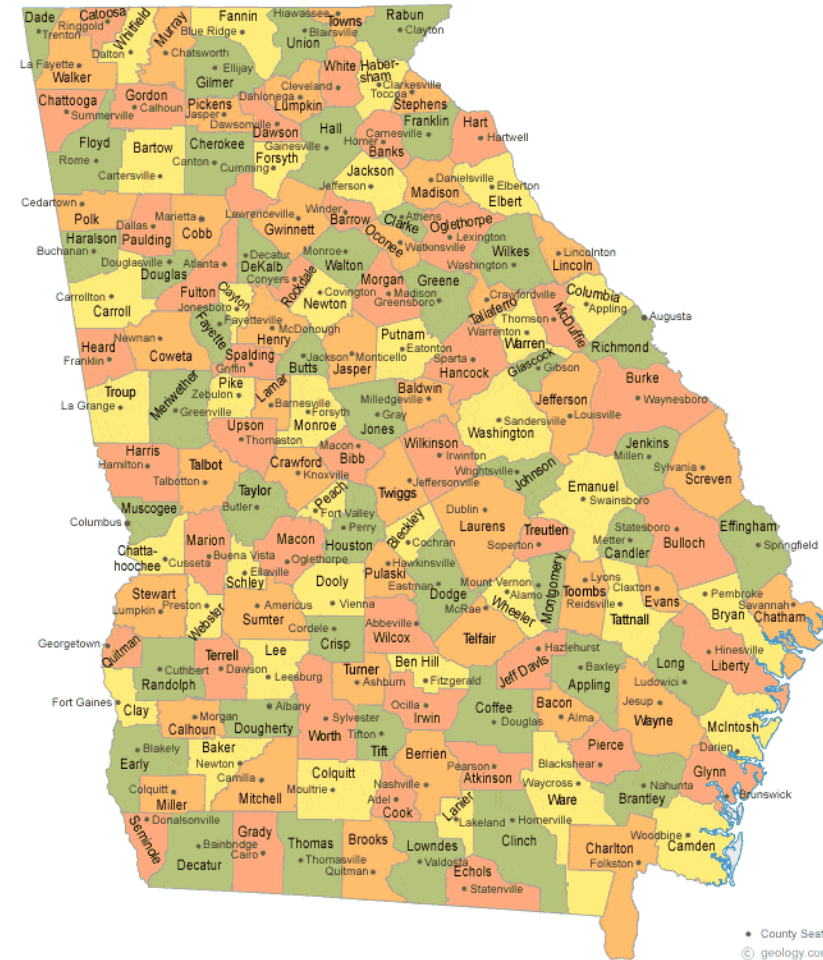
Water Resources

- Water and sewer financing
- Solid waste financing
- Energy conservation
- Water supply financing



Georgia WAP

- Georgia has 159 counties
- Subcontract with 14 Community Action Agencies (CAA)
- CAA's use both in-house weatherization staff and contractors
- 12 CAA's have QCI on staff; two CAA's contract for QCI
- GEFA staff: Senior PM, WAP coordinator, WAP monitor



State Planning: Success Strategies

- #1 Start early**
- #2 Talk to your DOE Project Officer**
- #3 Develop timeline and gain commitment**
- #4 Communicate often**
- #5 Manage it through to approval**



State Planning: Success Strategies

#1 -Start early

- Update policy and procedure manuals, health and safety plans, monitoring documents
- Review the WPN releases since the last plan
- Host in person meeting with PAC for input into plan the quarter before your planning starts
- Set placeholders on your calendar

Do all of these prior to the core state plan development.



State Planning: Success Strategies

#2 Talk to your DOE Project Officer

- When WPNs come out, use your monthly calls to discuss what your project officer expects to see in the state plan
- Talk through any assumptions that could affect your entire plan
 - Example: Agree on what the ACPU should be
- Get things in writing
- Ask for early review of parts of the plan
- When in doubt, reach out



State Planning: Success Strategies

#3 Develop timeline and gain commitment

- Draft immediately following the release of funding allocations
- Host meeting to review timeline to gain internal and external commitment
- Consider reverse planning to ensure you hit your delivery date



State Planning: Success Strategies

		Task Mode	Task Name	Duration	Start	Finish	Predecessor	Resource Names
1			WAP STATE PLAN	2 days	Mon 1/1/18	Tue 1/2/18		
2			DOE delivers allocations	0 days	Mon 1/1/18	Mon 1/1/18		DOE
3			Review instructions	2 days	Mon 1/1/18	Tue 1/2/18	2	Schroer
4			Start Drafting Plan	17 days	Mon 1/1/18	Tue 1/23/18	2	
5			Draft agency allocation budget	5 days	Mon 1/1/18	Fri 1/5/18		Schroer
6			Update Master File	4 days	Fri 1/5/18	Wed 1/10/18		Schroer
7			Update Annual File	4 days	Mon 1/8/18	Thu 1/11/18	5	Schroer
8			Update SF-424 and Budget	4 days	Mon 1/8/18	Thu 1/11/18	5	Schroer
9			Submit draft for GEFA internal review	4 days	Mon 1/15/18	Thu 1/18/18	8	GEFA
10			GEFA edits incorporated into plan	3 days	Fri 1/19/18	Tue 1/23/18	9	Schroer
11			Submit draft to PAC and post publicly	16 days	Thu 1/25/18	Thu 2/15/18	10	
12			Public Hearing Notice to run 10 days	11 days	Thu 1/25/18	Thu 2/8/18		Public Affairs
13			Upload all required documents into PAGE	3 days	Fri 2/9/18	Tue 2/13/18	12	Schroer
14			Public Hearing held at GEFA	1 day	Fri 2/9/18	Fri 2/9/18	12	GEFA
15			PAC Meeting to review state plan	2 days	Mon 2/12/18	Tue 2/13/18	14	PAC,GEFA
16			Receive and incorporate edits	2 days	Wed 2/14/18	Thu 2/15/18	14,15	Schroer
17			Final draft submitted to GEFA for review	2 days	Mon 2/19/18	Tue 2/20/18	16	GEFA
18			GEFA final approval of state plan	1 day	Wed 2/21/18	Wed 2/21/18	17	GEFA
19			Submit State Plan in PAGE	27 days	Fri 2/23/18	Tue 4/3/18	18	Schroer
20			Review state plan with project officer	7 days	Fri 2/23/18	Mon 3/5/18		DOE,Schroer
21			Make edits and corrections	2 days	Wed 3/7/18	Thu 3/8/18	20	DOE
22			Secure PO approval	2 days	Tue 3/13/18	Wed 3/14/18		DOE
23			Deliver to Golden for fiscal review	1 day	Thu 3/15/18	Thu 3/15/18	22	Schroer
24			Review with Golden CO	7 days	Fri 3/16/18	Mon 3/26/18	23	DOE,Schroer
25			Make edits and corrections	2 days	Tue 3/27/18	Wed 3/28/18	24	Schroer
26			Secure CO Approval from Golden	1 day	Thu 3/29/18	Thu 3/29/18	25	DOE
27			Post award in FedConnect	1 day	Fri 3/30/18	Fri 3/30/18	26	DOE
28			Review terms and conditions	1 day	Mon 4/2/18	Mon 4/2/18	27	Schroer
29			Accept award in FedConnect	0 days	Tue 4/3/18	Tue 4/3/18	28	GEFA

- MS Project allows for duration intervals but you can use excel too
- The release of funding allocations starts the core process



State Planning: Success Strategies

#4 Communicate often

- Weekly updates on plan progress
 - Internally and externally
 - Track planned vs. actual and communicate it
- Track planned vs. actual and communicate it
- Consider having your PO review your final draft before you submit



#5 Manage it through to approval

- Submitting the state plan in PAGE is NOT the last step
- Manage the entire process
- Proactively set up review meetings with PO and CO
- Leave time in your schedule to make changes or edits
- Be persistent about your timeline



State Planning: Success Strategies



Problem:
The budget balancing act can be a challenge.

Hint:
Leave an item or two that can have an adjustable budget for the very end.

➤ Annual Training Conference



State Planning: Success Strategies

Questions?

Thank you and good luck!



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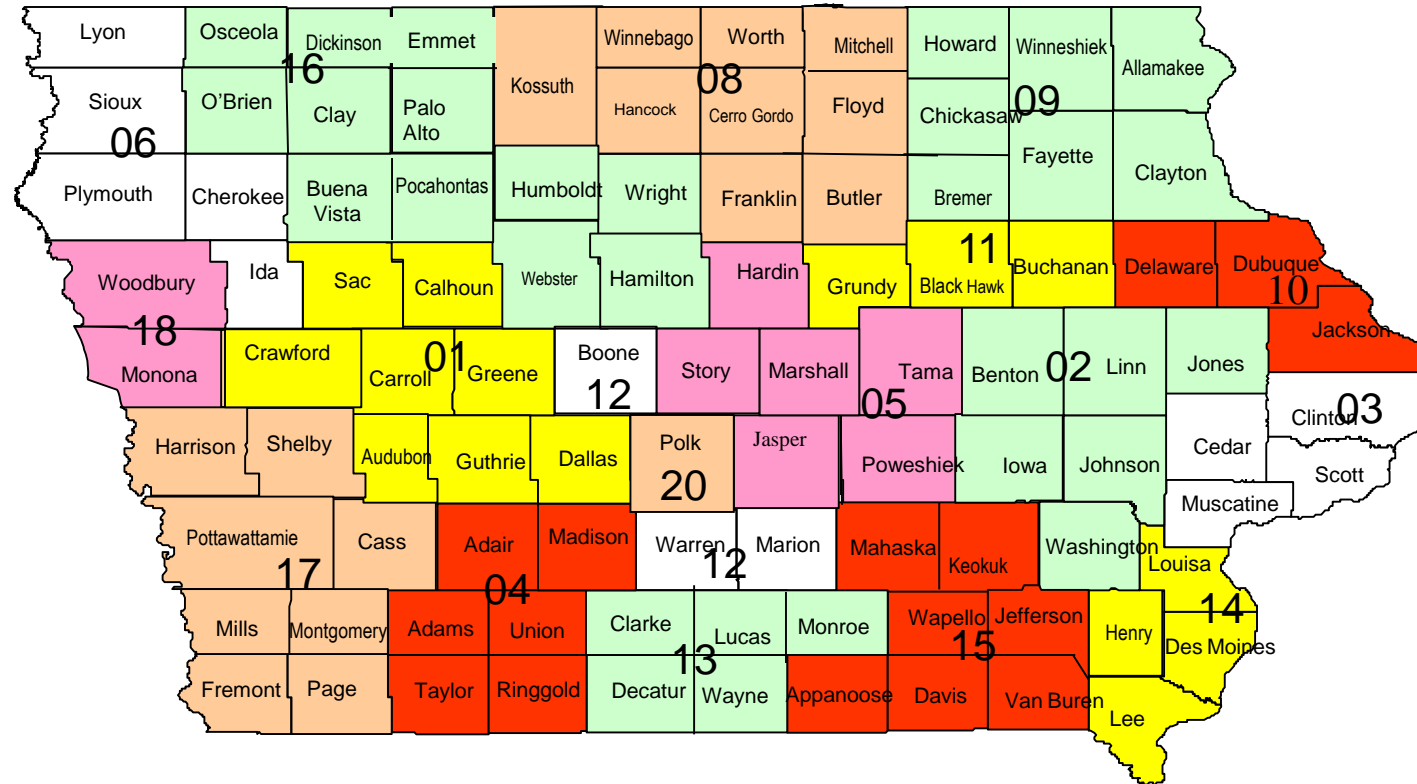
Weatherization Services in Iowa

- **Iowa Department of Human Rights – Division of Community Action Agencies**
- **Central administration in Department**
 - Reviews sub-grantee contract
 - Fiscal duties
- **Four programs within DCAA**
 - CSBG
 - LIHEAP
 - FaDSS
 - Weatherization
 - DOE
 - LIHEAP
 - Investor owned utility (3 contracts)



Weatherization Services in Iowa

- Iowa has 99 counties served by 17 Community Action Agencies.
- Weatherization subgrantees include all 17 CAA's and one local unit of government.



Keep in Mind...

- **Planning is an ongoing process...**
- **The state plan is an learning process...**
- **Project Officers are individuals and have their own ideas...**
- **Grantee admin & T&TA budgets are just projections...**



State Plan Timeline

The earliest the grant application will be due is 60 days before start of program year (January 30) - work back from this date

- PAC approval
- Public hearing ~ 5 days before
- Publish notice of public hearing by January 15th
- Plan must be complete before the notice of public hearing goes out

60 days to complete plan

- Submit as soon as possible
- Gives DOE more time to review and approve



Streamlining Planning Process

Plan ahead – don't wait for grant guidance to start planning process

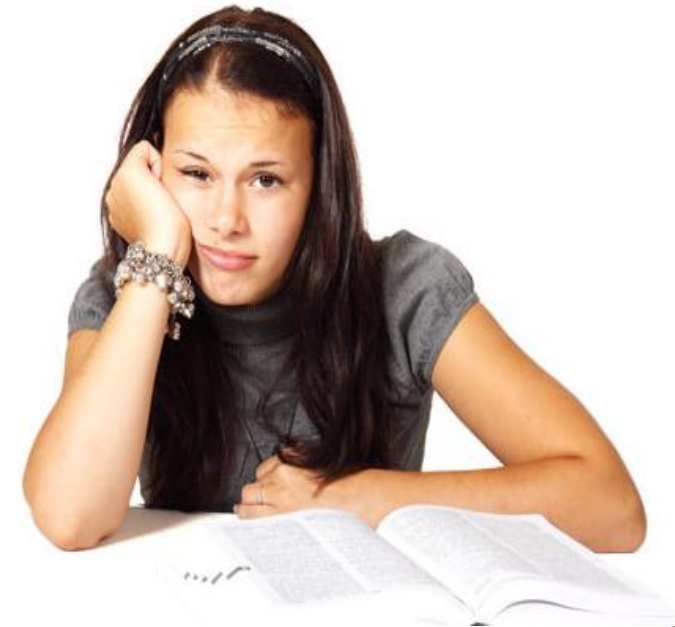
- **Meet with sub-grantees to discuss:**
 - Application timeline
 - Standards/field guide revisions
 - Policy revisions
 - H&S plan revisions
 - Training needs and schedule
 - Monitoring schedule
- **Meet with PAC to discuss possible changes in plan**



Streamlining Planning Process

What to do once you receive grant guidance...

- **READ - the guidance**
- **READ – the instructions**
 - Note changes from previous year
 - Highlight areas to be addressed
 - Questions – call the PO for clarification



Streamlining Planning Process

Use current approved plan as template

Use the DOE Program Assessment tool to review each section

Section I – SF 424

Section II – SF 424A

Section III – Budget Detail and Justification

Section IV – Sub-grantee Allocation Reconciliation Worksheet

Section V – Annual File

Section VI – Master File



Streamlining Planning Process

State admin and T&TA budgets

- Review current year expenditures
- Talk to payroll/fiscal to obtain current and projected salaries/fringe benefits
- Prepare a budget based on historical spending
 - Grantee Administrative
 - Grantee T&TA
- Prepare sub-grantee allocation sheet



A LOOK *at the* BUDGET



II. Standard Form 424 A: Budget	
Questions	
1	If carryover is budgeted, did the Grantee attach a listing of estimated carryover by budget category?
2	If carryover is budgeted, is the amount reasonable based on the spend rate of the current budget year and/or any amount available from previous budget years?
3	If carryover is requested and budgeted, has the Grantee attached an adequate explanation of why the funds were not spent?
ALRD 2 CFR 200.77 & 2 CFR 200.309 & Section III of the Application Instructions	
4	Budgeted Grantee Administration amount (from the Allowable Grantee Administration tab).
4a	Are Grantee administration funds listed in section B of the Budget less than or equal to 5% of total new funds in the award?
5	Do Grantee administration costs for all grant years appear to be less than or equal to 5% for the total grant award? If no, please include a comment. Review Limitations tab
6	Subgrantee Administration budget amount (from the Allowable Subgrantee Admin tab).
6a	Is the Subgrantee administration budget in section B between 5% and 10% of new funds in the award?
10 CFR 440.18 (d)	
7	Is the sum of Grantee and/or Subgrantee T&TA budgeted less than or equal to the amount indicated in the annual T&TA allocation (refer to the PY17 Grantee Allocation tab)?
8	Are the total T&TA expenditures for all years of the award less than or equal to the amount authorized? If not, please include a comment. Review Limitations Tab
9	Is the Grantee keeping their current Program Year?
10	Are the DUNS / TIN numbers on this program year SF-424 the same as previous years? If not, verify which is correct. (NOTE: Need a separate mod to change the DUNS. TIN change does not require a mod; however, Grantee would need to work with Specialist to update ASAP account.)
Section 1.4 & 1.8 of the annual program guidance	

	III. Budget Detail and Justification
	Questions
	<i>Fringe Cost</i>
1	Did the Grantee provide a list of all Fringe Benefits and the percentage for each?
2	Does the sum of the percentages equal the total Fringe rate provided in the Budget Justification?
	Section III.3 of the Application Instructions
	<i>Indirect Cost</i>
1	Is the Grantee charging Indirect Costs to the grant?
2	Did the Grantee provide a current Indirect Rate Agreement?
3	Did the Grantee provide a Cost Allocation Plan?
	Section III.3 of the Application Instructions
	<i>Other</i>
1	Based on your evaluation, are the proposed costs reasonable?
2	Did the Grantee include costs that would normally be considered indirect (e.g. Rent, phone, postage)?
	If the Other Costs category includes rent, phone, postage, etc., the Grantee must provide the following assurances: i. All costs included in Other Costs are properly segregated from Indirect costs, i.e. no double-dipping. ii. All costs proposed in Other Costs are only used in support of the WAP program.
3	Was the most current single audit required by 2CFR200, Subpart F provided in the attachments?
	<i>Personnel</i>
1	Does the proposed mix of skills and experience support the Grantee's weatherization program?
2	Based on your evaluation, are the proposed direct costs reasonable?
3	Did the Grantee indicate Direct costs (including personnel) will be paid for by non-DOE funds in the budget detail or Section B of the SF-424A Budget? If not, need clarification from Grantee.
	Section III.3 of the Application Instructions
	<i>Travel</i>
1	Do the proposed trips support the weatherization program?
2	Based on your evaluation of budgeted travel expenses, are the proposed travel costs reasonable?
	Section III.3 of the Application Instructions

Equipment		
1	Do the proposed costs for equipment purchases support the weatherization program?	
2	Based on your evaluation of budgeted equipment expense, are the proposed equipment costs reasonable?	
	<u>10 CFR 440.18(c)(6) & Section III.3 of the Application Instructions</u>	
Materials and Supplies		
1	Do the proposed supplies support the weatherization program?	
2	Based on your evaluation of budgeted supply expense, are the proposed supply costs reasonable?	
	<u>Section III.3 of the Application Instructions</u>	
Contractual		
1	Does the budgeted expense and stated purpose for each contract appear reasonable?	
2	Do the proposed expenses listed in the Contract detail support the weatherization program?	
3	Does the contractual amount indicated for distribution to Subgrantees in the budget detail match the Subgrantee tentative allocation total (section IV.1) of the annual file? (Complete Subgrantee Allocation Reconciliation Worksheet Below.)	

Streamlining Planning Process

Annual File

- Review sub-grantee list
 - Up-to-date
 - Check addresses
 - Check DUNS numbers
 - Complete SAMS search
- Review and update PAC Membership
- Requirements listed in Section V of the Assessment tool



V. Annual File (which serves as the Statement of Project Objectives)

Subgrantee Information

- 1 Is the Subgrantee information complete in Subgrantees section? (e.g., Agency name, address, type of agency, counties served, sources of labor, Subgrantee allocation, expected agency production)
- 2 Are there any new Subgrantees and do they meet the requirements of 10 CFR 440.15 and 2 CFR 200? (NEW)

10 CFR 440.14

Production Schedule

- 1 Are the proposed number of units to be weatherized in the WAP Production Schedule consistent with the Subgrantee Information Form in the Annual File?
- 2 Is the proposed average cost per dwelling unit (ACPU) calculated less than the amount authorized in WPN 17-1 (\$7,212)?

Section 3.1.1 of the Annual Guidance

- 3 Is the proposed average comparable to the ACPU from their Quarterly Performance Report?

Energy Savings

- 1 Did the Grantee calculate energy savings using the DOE algorithm or another valid method and is the result correct? (The DOE algorithm is 29.3MMBTU/home/year)

Section IV.3 of Application Instructions

Leveraging Activities

- 1 If the Grantee budgeted DOE funds for leveraging, have they addressed requirements identified in Sections III.1 (SF-424A - Section A: Budget Summary) and IV.4 DOE-Funded Leveraged Activities of the Application Instructions?
- 2 If the Grantee budgeted DOE funding for leveraging, is it less than 15% of the total DOE funding allocation?
- 3 If the Grantee has DOE-funded leveraging activities in an existing award, is it reporting leveraged units in the Quarterly Performance Report and in the Leveraged Funds Section of the T&TA, Monitoring and Leveraging Report?

Section 3.3 of the annual guidance & IV.4 of Application Instructions

- 4 Is the level of detail in the leveraging plan sufficient for the amount of funding it would divert from traditional production?
- 5 If the Grantee has utilized DOE funds for leveraging in the past, review previous reporting. DOE leveraging funds are intended to return at least dollar for dollar in leveraged resources. Has past performance been effective and worthy of continuing to invest DOE funds toward leveraging purposes?

Section IV.4 of the Application Instructions

	<i>Policy Advisory Council or Commission</i>	
1	Is the Grantee's PAC active and does it meet at least annually? (Notes should be listed as an attachment to the SF-424)	
2	Does the PAC broadly represent organizations and agencies, including elderly, handicapped and Native American interests?	
3	Does the listing of the PAC Members contain current contact information, association affiliation details, and category represented?	
4	Does the PAC advise the Grantee with respect to the development and implementation of the weatherization assistance program?	
	<u>10 CFR 440.17 (a) (2&3) & Section IV.5 of Application Instructions</u>	
	<i>Public Hearing and Comment</i>	
1	Has a public hearing been held for the proposed budget period? Was a date provided? Notes or transcript must be attached to SF-424 application.	
2	Was public notification made of the proposed plan and was it available for review at least 10 calendar days prior to the hearing? Grantee must provide verification of posting as an attachment to the application.	
3	Have public hearing notes/written submissions been provided by the Grantee and reviewed by the Project Officer? (SF-424 attachment)	
	<u>Section IV.6 of the Application Instructions</u>	

	<i>Miscellaneous Issues</i>	
1	Do the comments and activities described in the Miscellaneous section of the Annual File support the funds budgeted?	
2	Is the Grantee current with the Federal Financial Reports and Quarterly Performance Reports in PAGE?	
3	Has the most recent annual T&TA report been submitted and approved?	
	<u>WPN 16-4</u>	
4	Has the Annual Historic Preservation Report been submitted in PAGE?	
5	Has the Grantee completed or in negotiations for a signed Programmatic Agreement with the SHPO?	
6	Have all corrective actions identified as a result of the last Monitoring Report in PAGE been resolved? If Yes - no further action is required. If No - please summarize all unresolved issue(s).	
7	Based on the Monitoring Report and any other known factors, do you recommend Grantee be on the preferred ASAP Advance payment method? If Yes , no further action required. If No , please indicate reasons for recommending an alternative payment method. Note: ASAP Advance is the preferred payment method for Grantees not at risk. ASAP Advance - Approval Required is the payment method for Grantees not performing and/or at-risk.	
8	Are the Recipient Business Officer and Recipient Principal Investigator names, email addresses, and phone numbers identified?	
9	Please identify the award number in which open Action Item(s) are found in PAGE:	
	<u>WPN 16-4</u>	

Streamlining Planning Process

Master file

- Sometimes feels like a never-ending process – lots of info requested
- Basically contains everything you are going to do in the next year
- Review each section of previous year grant
- Compare with instructions
- Use references in the Assessment Tool



	VI. Master File (To be updated and reviewed annually)
	<i>Approach to Determining Client Eligibility</i>
1	Has the Grantee provided a description of the definition of income used to determine eligibility? <u>Section 407(A) ARRA & Section V.1.1 Annual Guidance</u>
2	Has the Grantee explained what household eligibility basis will be used in the Program (e.g., 200% poverty level or LIHEAP qualified)?
3	Has the Grantee included language for ensuring qualified aliens are eligible for weatherization benefits?
	<i>Approach to Determining Building Eligibility</i>
1	Does the Grantee describe the procedures to determine that units weatherized have eligibility documentation?
2	Does the state plan address under what circumstances reweatherization is addressed?
3	Does the Grantee describe what structures are eligible for weatherization? <u>Section V.1.2 of the Application Instructions</u>
4	Does the Grantee describe how rental units will be addressed (rent increases, complaints and administrative relief, undue enhancements, permission of owner)? <u>10 CFR 440.22 (b)(3)</u>
5	Does the plan explain how multi-family eligibility will be addressed (66%, 50%, HUD lists)? <u>10 CFR 440.22 (b)(2)</u>
6	Does the Grantee include a deferral process and does it appear to meet weatherization guidelines? <u>Section V.1.2 of the Application Instructions</u>
	<i>Definition of Children</i>
1	Did the Grantee specify an age of 19 or less for eligible "children"? <u>10 CFR 440.3</u>
	<i>Approach to Tribal Organizations</i>
1	Is the treatment of tribal organizations addressed? (Whether or not to treat a tribal organization as a local applicant or as part of the general population.) <u>10 CFR 440.3, 440.12(b)(5)& 440.16(f)</u>

	<i>Selection of Areas to be Served</i>	
1	Does the plan address the method used to select each area served by a weatherization project?	
	<u>10 CFR 440.14 (c)5</u>	
	<i>Priorities for Service Delivery</i>	
1	Does the Grantee have the required procedures in place to ensure that priority is given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burden?	
	<u>WPN 11-4, Pg 2; 10 CFR 440.16(b)</u>	
2	When a Grantee elects to utilize high energy users or high energy burden, they must also report by that priority. Is the Grantee reporting on those priority categories? (refer to the Quarterly Performance Report to verify)	
	<u>Section V.3 of the Application Instructions & 10 CFR 440.16(b)</u>	
	<i>Climate Conditions</i>	
1	Has the Grantee adequately addressed climatic conditions and provided data across their service area?	
	<u>10 CFR 440.14(c)(2)</u>	
	<i>Technical Guides and Materials for the Weatherization Work to be Done</i>	
1	Does the Grantee plan indicate that all work done is consistent with its DOE-approved energy audit and Appendix A? (If not needs DOE approval)	
	<u>10 CFR 440.21(b)</u>	
2	Does the Grantee have DOE approved field guides that address all of the applicable housing types? If not what is the milestone plan for submission?	
3	Did the Grantee describe how these field guides and standards are to be distributed to Subgrantees and contractors.	
4	Does the Grantee include all of the requirements of WPN 15-4 Quality Work Plan?	
5	Are the technical requirements and specifications for work included in all Subgrantee agreements and vendor contracts?	
6	Did the Grantee provide the specific language that will be inserted into Subgrantee and contractor agreements that indicates the signatory's responsibility to perform work to the specifications outlined in WPN 15-4 and any other Grantee requirements?	
7	Did the Grantee describe the mechanism for confirming that the Subgrantee and/or contractors have read and acknowledged the expectations for work quality outlined in the contract?	
	<u>WPN 15-4</u>	

	Energy Audit Procedures	
1	Has the single-family audit/priority list been approved or reapproved within the last five years or if not, does the Grantee provide a corrective action plan? Please identify which audit is approved and when it was approved for reference.	
2	Has the manufactured housing audit/priority list been approved or reapproved within the last five years or if not, does the Grantee provide a corrective action plan? Please identify which audit is approved and when it was approved for reference.	
3	Have multi-family audits/priority lists been addressed? (DOE approval needed if over 20% of units reported are multi-family) Please identify which audit is approved and when it was approved for reference (check Quarterly Performance Report to verify percentage of multi-family units).	
4	If multifamily units to be done are less than 20%, is there a defined process in the plan that explains that the proposed units are to be approved by DOE before work commences?	
5	Is the Grantee proposing any new measures that are not listed in Appendix A?	
	<u>WPN 13-5</u>	
	Final Inspection	
1	Did the Grantee plan clearly indicate whether their policy will be independent QCI, independent auditor/QCI, or grantees - developed quality inspection policy?	
2	Did the Grantee describe what actions they will take when a local QCI fails to adequately inspect to the most recently approved DOE field guide? (moved question from other section)	
3	Did the Grantee provide copies of the Quality Control Inspection (QCI)/Technical Monitoring Forms within their application?	
	<u>WPN 15-4</u>	
	Weatherization Analysis of Effectiveness	
1	Has the Grantee explained how their assessment tool will address the existence and effectiveness of the program (see section V.6 of the Application Instructions)?	
	<u>10 CFR 440.14(c)(6)(I) & Application Instructions V.6</u>	

	Health & Safety (H&S)	
1	Are H&S costs included in a separate H&S budget category? If not, have they identified where H&S will be charged ?	
2	Is the H&S budget category amount comparable to the production estimate multiplied by the average per home H&S amount from the plan?	
3	Has the Grantee established H&S cost controls (as a percentage of the average cost per dwelling unit, total expenditure cap, etc.)?	
4	If the percentage requested is 15% or more, has the PO submitted the proposed H&S plan to the H&S committee for review?	
5	Does the plan include procedures for soliciting information from clients to reveal known or suspected occupant health concerns prior to beginning weatherization work?	
6	Does the plan identify all of the anticipated H&S hazards and approaches to addressing the different issues?	
7	Does the plan state for each H&S issue if WAP funds can or cannot be used to address the hazard and in what instances?	
8	Does the plan identify necessary H&S training?	
9	Does the plan address client education for the various H&S issues?	
10	Has the Grantee implemented ASHRAE 62.2-2016?	
11	If the Grantee proposed changes from the requisite edition of ASHRAE 62.2, have the changes been approved by the H&S Committee?	
12	Is "at-risk occupant" appropriately defined for allowing H&S air conditioning replacement?	
13	Has the Grantee defined what additional review or rigor will be required for those measures identified to be performed on a "case-by-case" basis?	
14	If used, does the Grantee adequately define what constitutes a "minor repair" and a "major repair"?	
15	Does the Grantee include a process for verifying RRP compliance?	
	<u>WPN 11-6</u>	
	Overview and Organization	
1	Has the Grantee provided a clear overview and description of their organization?	
	<u>Section V.8.1 of 2015 Application Instructions</u>	
2	Does the Grantee clearly discuss how Subgrantee administration funds are allocated, especially for those Subgrantees receiving less than \$350,000?	

	Monitoring Activities	
1	If the Grantee is a direct service provider, do they comply with the guidance outlined in WPN 16-4 titled "Direct Service Grantee"?	
	<u>WPN 16-4</u>	
2	Has the Grantee followed the "approach" outlined in WPN 16-4 under "Grantee Monitoring of Subgrantees" (including Programmatic & Management Monitoring, Subgrantee and Financial Monitoring)?	
3	Will the Grantee monitor all local agencies at least annually and visit at least 5% of completed units or 10% for Subgrantees where auditors do QCIs?	
	<u>WPN 16-4</u>	
4	Does the plan include provisions to conduct more frequent visits of Subgrantees with significant deficiencies?	
5	Does the plan require monitoring reports to be submitted to the Subgrantee within 30 days of the onsite visit?	
6	If significant issues are cited by the Grantee in the monitoring report, do they require a Corrective Action Plan from the Subgrantee?	
7	Were items identified during the most recent DOE monitoring addressed as needed in the plan?	
8	Does the plan indicate an annual review of all Subgrantee financial audits?	
	<u>WPN 16-4</u>	
9	Do the budgeted funds for monitoring appear to be sufficient to pay the costs associated with expenditures required by the monitoring protocol outlined by the Grantee in this plan?	
10	Has the Grantee specified the percentage of Admin and/or T&TA funds allotted for monitoring activities? (Consider in-process monitoring costs also)	
11	Has the Grantee adopted one of the two DOE Prescribed QCI Policies for administering quality control inspections? If yes, which one?	
12	If the Grantee has chosen to develop their own QCI policy, does it contain the three requisite elements?	
	<u>WPN 15-4</u>	

	<i>Training & Technical Assistance Plan</i>
1	Did the Grantee give a thorough evaluation of training needs based on performance?
2	Are the training activities described consistent with the funds budgeted?
3	Does the Grantee require subgrantee staff to have certification prior to hiring or within a certain date of hire, is it noted in the plan? How is compliance with this requirement monitored?
	<u>10 CFR 440.12(b)(7) & V.8.4 Application Instructions</u>
4	Has the Grantee assessed the training needs of the Subgrantees?
5	Does the plan include a detailed description of what training will be provided for the Grantee/Subgrantee staff as well as which trainings are mandatory?
6	Does the Grantee discuss how they plan to compare productivity and energy savings between Subgrantees and how the comparisons will be used in the development of T&TA activities?
7	Are client education activities addressed?
	<u>Section V.8.4 of the Application Instructions</u>
8	Has the Grantee developed a training and certification plan to ensure that there are a sufficient number of certified individuals available to meet the QCI requirements?
9	Does the Grantee Training Plan ensure that all workers receive regular Tier 1 training and that Tier 2 training is provided on an as-needed basis?
10	Is the Tier 1 training administered by a training program that is accredited by IREC for the JTA being taught and are the categories of workers (i.e. auditors, inspectors, crew leaders, installers) who will receive Tier 1 training identified?
11	Does the T&TA Plan meet all requirements of 15-4 and other program guidance.
	<u>WPN 15-4</u>
	<i>Energy Crisis and Disaster Plan</i>
1	If the Grantee proposed an Energy Crisis/Disaster Plan, is it consistent with the current guidance?
	<u>WPN 12-7</u>

In Closing...

Things to keep in mind...

Work with Project Officer

- Discuss major planned changes
- Reduces negotiated changes
- Once PO has reviews/approved a section – don't make additional changes

Double check Administrative amount (percentage)

Make sure your budget details agree with the 424A

Explain any carryover included in the budget

See Section II of DOE Assessment Tool



QUESTIONS And Answers

