



**Department of Energy**  
Washington, DC 20585

**WEATHERIZATION PROGRAM NOTICE 04-4**  
**EFFECTIVE DATE:** December 19, 2003

**SUBJECT:** REVISED WEATHERIZATION ASSISTANCE PROGRAM APPLICATION PACKAGE AND REPORTING FORMAT

**PURPOSE:** To issue the revised application package and planned reporting format for the Weatherization Assistance Program for Low-Income Persons (Weatherization) for use by the States.

**SCOPE:** The provisions of this guidance apply to all grantees applying for financial assistance under the Department of Energy's (DOE) Weatherization Assistance Program for Low-Income Persons.

**BACKGROUND:** Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy to administer the Weatherization Assistance Program for Low-Income Persons. All grant awards made under this program shall comply with applicable law, including regulations contained in 10 CFR Part 440, (issued February 1, 2002), and other procedures applicable to this regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance.

The President's Management Agenda states: "Agencies will allow applicants for Federal grants to apply for and ultimately manage grant funds online through a common website, simplifying grants management and eliminating redundancies in the same way as the single procurement portal will simplify purchasing." The Grants.gov program will produce a simple, unified "storefront" for all customers of Federal grants to electronically find opportunities, apply for and manage grants. It will facilitate the quality, coordination, effectiveness and efficiency of operations for grant makers and grant recipients. It is expected that Grants.gov will be available for Weatherization grantees to submit applications for the Program Year 2005 funding cycle. Grants.gov was the subject of sessions at both the 2003 National Weatherization Training Conference in Phoenix, Arizona, in August, and the National Association for State Community Services Programs' (NASCSPP) Fall Training Conference in Salt Lake City, Utah, in October. DOE and its Regional Offices will continue to keep the States informed of the status of the system, seek input from the network, as appropriate, and provide training as it becomes available.

In preparing for Grants.gov, the application and reporting package was reviewed during the fall of 2002, in an effort to recommend changes that would streamline the application package while ensuring that information critical to the administration of the Program would continue to be received. The application package revisions, which are listed below, will be incorporated into the application package to be used for the 2004 Program Year application. The revised Application Package, including the planned reporting formats, is enclosed with this Program Notice.

**NOTE: The proposed reporting revisions must be reviewed and approved by the Office of Management and Budget (OMB) prior to implementation. However, in order to allow States to take advantage of the further streamlined application package, we must provide the planned changes to the various forms. This is a change to the grant guidance for Program Year 2004, Weatherization Program Notice 04-1, Annual Grant Guidance, in which we indicated that the reporting would not change for the 2004 Program Year.**

**PROCEDURES:** This application package is to be used by all State agencies applying for grants administered by the Department of Energy's Office of Weatherization and Intergovernmental Program through DOE's Regional Offices, under the Weatherization Assistance Program for Low-Income Persons.

Formerly, since many of the items included in a State's grant application do not change from year-to-year, the grant application components were divided into two "files." The "Annual File" contained all the grant application components that change annually (e.g., budget, production schedule, training and technical assistance activities, etc.). The "Master File" contained the application components that were generally unchanged from the previous year (e.g., the state's climatic conditions, the extent to which priority will be given to the weatherization of single-family or other high energy consuming dwelling units, etc.). However, to streamline the application package, States will no longer be required to prepare a Master File. States must maintain up-to-date information consistent with the program guidance on file at the State office that demonstrates how the State continues to meet the minimum program requirements. With publication of this package, the information formerly contained in the Master File will now be referred to as "On-File Information." **If no changes occur, the On-File Information will remain at the state and be monitored by Regional Office staff during routine monitoring visits. If a state initiates changes to items that are part of the On-File Information, those changes must be captured in the Annual File under section II-10 "Adjustments to On-File Information."**

A checklist, which applicants should use to cross-reference 10 CFR 440 rules sections to grant application components, is provided in Section 1.3, Location of Grant Application Components, of the application package. This checklist can also be used to determine if a particular grant application component belongs in the Annual File or in On-File Information maintained at the State.

## CHANGES TO ANNUAL FILE:

- **Page II-1, Section II.2.1, DOE F 4600.4, Section B: Budget Categories**, the “Low-Cost/No-Cost” and “Energy Audit” budget categories are eliminated.
- **Page II-5, Section II.2.2, Budget Categories**, Liability Insurance (column 4, page 2 of 3), this section was changed to add “the costs associated with Pollution Occurrence Insurance coverage.”
- **Page II-6, the former Section II.2.3 Additional Budget Detail** was eliminated. Section II.2.3 now contains the Budget Justification information.
- **Page II-6, Section II.3 Subgrantees**, eliminated the requirements to provide source of labor for each subgrantee and the percentage of funds going to multiple Congressional districts for each subgrantee.
- **Page II-6, Section II.4 Production Schedule**, eliminated rows A through E, used for calculating the Gross Average Cost per Dwelling Unit.
- **Page II-6, Section II-5 Energy Savings**, eliminated the requirement for an explanation of why the actual energy savings from the previous year deviated significantly from planned energy savings and on **Page II-7** of this section updated the energy savings calculation to include the most recent Metaevaluation information.
- **Page II-7, Section II.6 Training, Technical Assistance, and Monitoring Activities**, have been combined into one section that briefly describes activities planned for the year.
- **Page II-8, Section II.7 DOE-Funded Leveraging Activities**, eliminated the requirement for information on other funding sources (non-DOE funded leveraging activities) used to extend or enhance services and eliminated the requirement to include the names of those subgrantees involved with DOE-funded leveraging efforts.
- **Page II-8, Section II.8 Policy Advisory Council**, eliminated the requirement to include the address of Policy Advisory Council (PAC) members and the dates of meetings. However, the names of the members and their affiliations are still required as part of the Annual File.
- **Page II-8, Section II-9 Hearings and Transcripts**, States are still required to submit either unofficial notes, unofficial minutes or the official transcript(s) from the hearings to their applicable Regional Office, as indicated in the program guidance.
- **Page II-9, Section II.10 Adjustments to On File Information**, was added because when States make any changes to the On-File Information captured in Section III of this package they must also submit those changes in this section of the annual plan. This includes only items that have changed since the previous program year.

**CHANGES TO MASTER FILE:** The Master File, now called **On-File Information**, is eliminated from the grant application. The On-File Information will remain at the state level and will be monitored by Regional Office staff during routine monitoring visits. Again, if a State initiates changes to items that are part of the On-File Information, those changes must be captured in the Annual File under the new section II.10, Adjustments to On-File Information. Following are specific changes made to the On-File Information.

- **Old Section III.2 Climatic Conditions**, is eliminated because weather data is readily available that illustrates the climatic conditions of any particular state. Therefore, States need not keep this data on file for DOE to review.
- **The old Sections III.3 Weatherization Work, Section III.3.1 Type of Work to be Done, III.3.2 Energy Audit Procedures, and III.3.3 Final Inspection**, are eliminated because these items are reviewed by DOE as part of the energy audit approval process.

**WEATHERIZATION ASSISTANCE PROGRAM - PRODUCTION SCHEDULE:**

The Production Schedule has been reduced from two pages to one. Data on Annual Totals for Weatherized Units (total) and Reweatherized units; the Vehicles and Equipment \$5,000 or more Average Cost per Dwelling Unit (DOE Rules); and, the Average Cost per Dwelling Unit (DOE Rules) are the only information now contained on this form.

**CHANGES IN PROGRAMMATIC REPORTS:** The number of reports that must be submitted has been significantly reduced. In addition to meeting Program requirements, the information from these reports will allow DOE to more prudently manage the Weatherization Program. The reports and any changes made during this update are listed and explained, by subject matter, in this Program Notice.

**QUARTERLY PROGRAM REPORT:**

- **I. GRANT OUTLAYS - FUNDS SUBJECT TO DOE PROGRAM RULES (rounded to the nearest dollar)**, Section B. Outlays by Function, was changed to eliminate the Low-cost/No-cost and Energy Audits Sections.
- **II. GRANT PRODUCTION - UNITS SUBJECT TO DOE RULES, Section C. UNITS COMPLETED WITH GRANT FUNDS (all funds in approved DOE budget)** a new number 3. **UNITS BY PRIMARY HEATING FUEL** was added. In this section we are asking for the number of units completed by category of primary heating fuel. "Primary Heating Fuel" is the fuel that provides the most space heat in the home. This information is needed to assist with the national evaluation of the Program.

## **TRAINING AND TECHNICAL ASSISTANCE, MONITORING, and LEVERAGING REPORTS:**

These three reports have been combined into one report to be submitted annually. A separate section for each of these three categories is provided. Please note that for States not on WinSAGA, this one report may look like there are still three separate reports requested. That is because on paper, in order to leave enough space for the information, we allow a full page. Further evidence that this is to be one form is that the submitted by, date, typed name and title are only requested on the page containing the leveraging activities. For those on WinSAGA, the report will appear as one page with the three sections - one each of Training and Technical Assistance (T&TA) Activities, Monitoring Activities, and Leveraging Activities.

- **T&TA Activities:** States should describe the training and technical assistance activities conducted during the past year.
- **Monitoring Activities:** States are to list the subgrantees monitored during the reporting period and indicate the focus and significant findings of each monitoring activity, as appropriate.
- **Leveraging Activities:** For each leveraging activity, States are to describe the type of project, the amount and source of funding, and the number of completed units.

**SUCCESS STORIES:** This report is being dropped in its entirety.

## **SUMMARY**

The application package and planned reporting formats are hereby issued for use in Program Year 2004. While it is true that the proposed reporting revisions must be reviewed and approved by the Office of Management and Budget (OMB) prior to implementation, we feel that, for a number of reasons, we are on solid ground by moving forward with these changes now. The reasons include: (1) We have received the go ahead with these planned changes and have been assured by the DOE staff responsible for Grants.gov that we will be able to collect the information we need to administer and/or support the Program; (2) This information has been shared with States and some local agencies, all of which had a positive response to the planned changes; (3) Because lots of information previously required has been eliminated and the units by fuel type is the only new information requested; and (4) Because these changes were made in response to Grants.gov.

The Grants.gov effort is an on-going process. DOE will continue to provide updates to the States on Grants.gov as they become available. DOE Regional Office Weatherization Program Managers and Headquarters Weatherization staff will use many opportunities, including the National Association for State Community Services Programs (NASCS) Mid-Winter Training Conference, February 23-27, 2004, various Regional Conferences

and the joint NASCSP/2004 Weatherization State Managers Meeting, to provide training on the application package and reporting formats.

A handwritten signature in black ink, appearing to read 'J. Millhone', with a long horizontal flourish extending to the right.

John Millhone  
Program Manager  
Weatherization and Intergovernmental Program  
Energy Efficiency and Renewable Energy

Attachment: [Application Package](#)