

U.S. DEPARTMENT OF
ENERGY

Office of
ENERGY EFFICIENCY &
RENEWABLE ENERGY

Weatherization Assistance Program 2018 NASCSP Orientation

WEATHERIZATION ASSISTANCE PROGRAM

FEBRUARY 2018



Overview

- Role of the Grantee Program Manager
- Role of the DOE Project Officer
- Why the State Plan is so Important
- Application Package
 - Detailed Review
 - Common Mistakes that Prompt Rejecting Plans
- Answering Questions along the Way

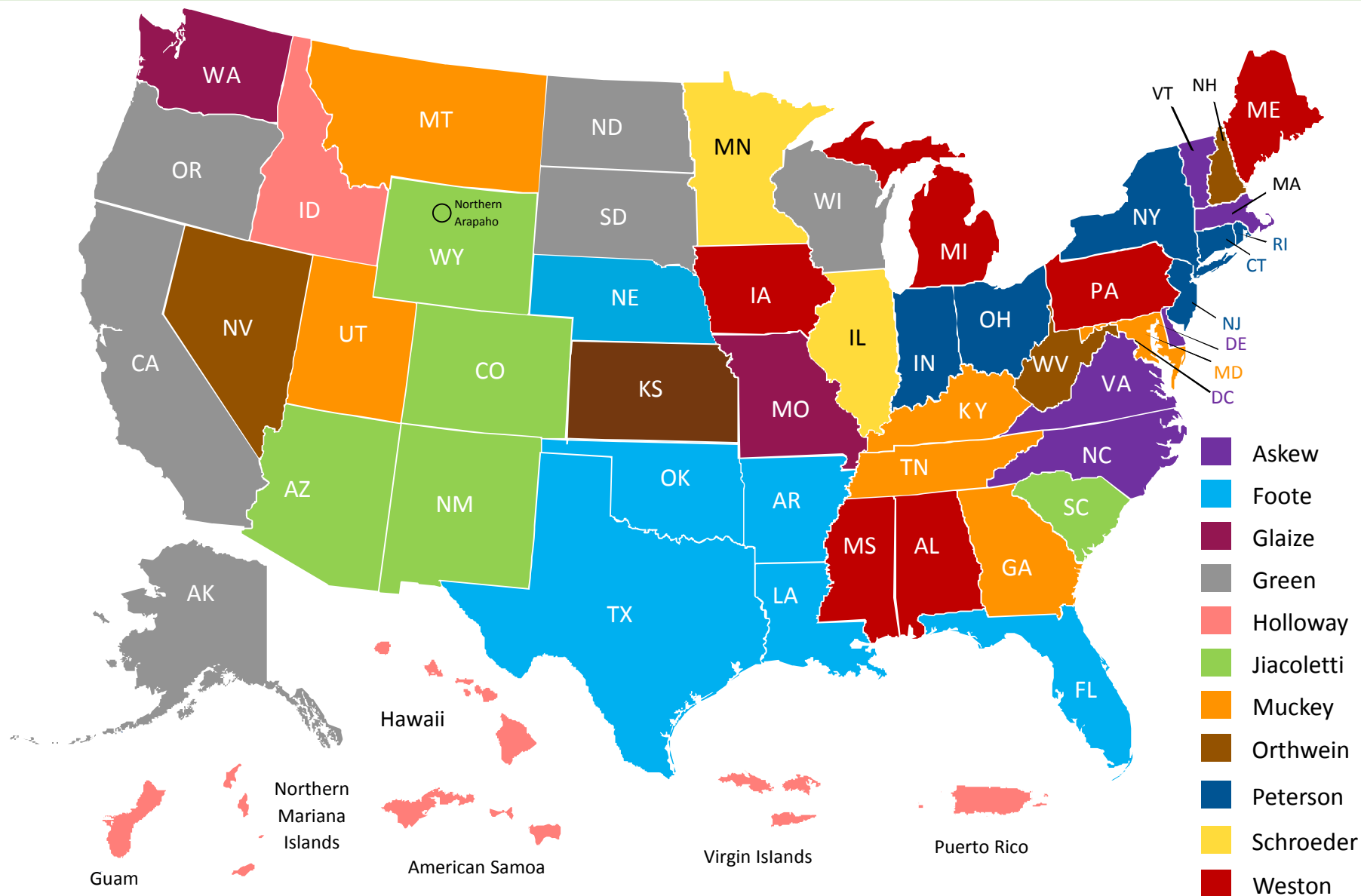
Grantee Program Manager (PM) Responsibility

- **The Grantee PM ensures that the annual Weatherization Assistance Program (WAP) application is:**
 - Complete and accurate.
 - Submitted on time.
 - Revised as requested by Department of Energy (DOE) staff.
- **The Grantee PM is DOE's primary point of contact.**

Project Officer (PO) Responsibility

- **PO reviews the Grantee's annual Weatherization Assistance Program (WAP) application is:**
 - Complete and accurate.
 - Meets all the objectives of the federal funding.
 - Revised as requested by Department of Energy (DOE) staff, including FAO/Contracting Officers.
- **The PO is the Grantee's primary point of contact.**

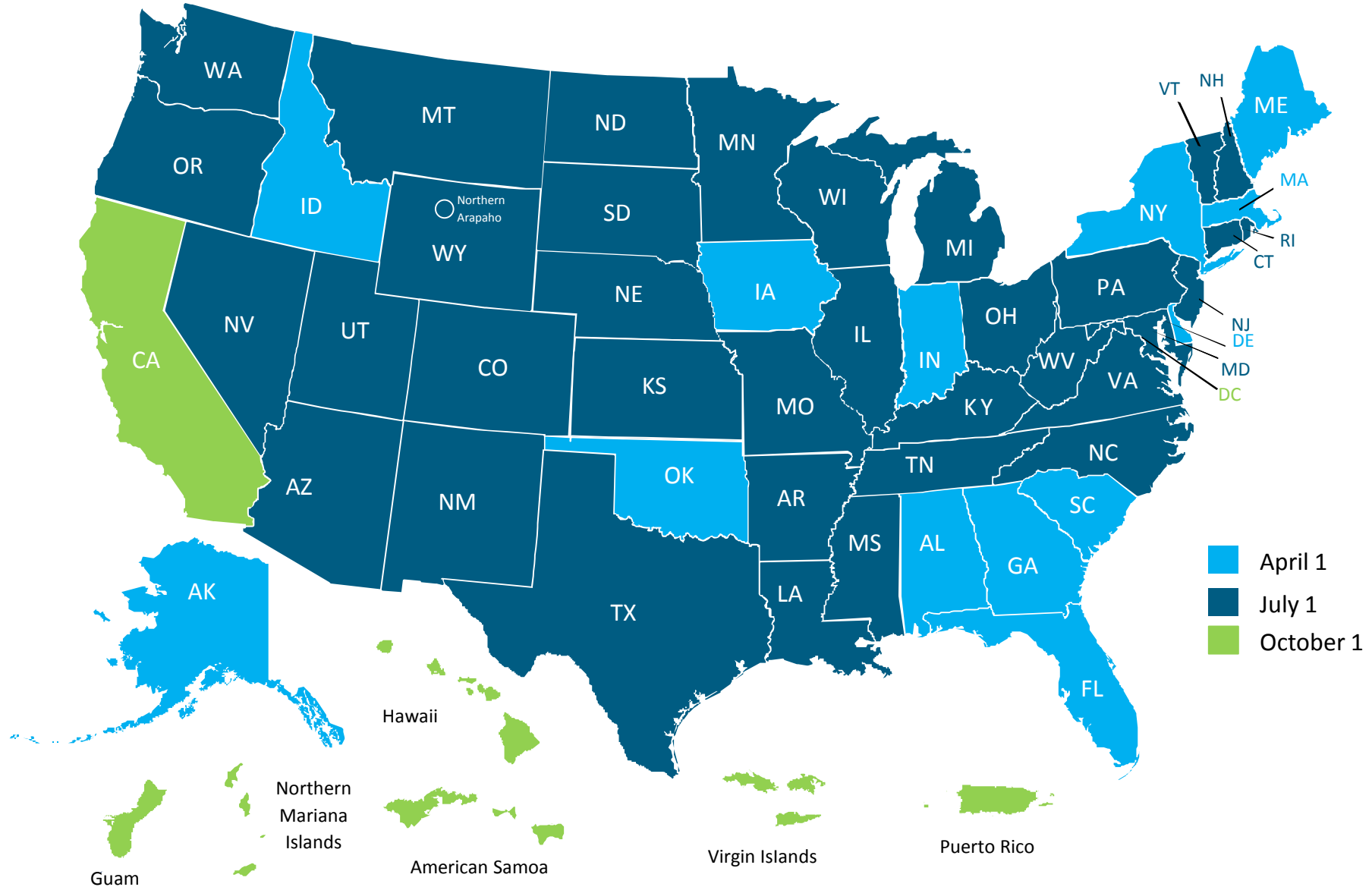
WEATHERIZATION GRANTEE ASSIGNMENTS – JANUARY 2018



State Plan – Why all the Fuss?

- State Plan drives all other expectations.
- Binding contract between the federal government and the Grantee.
- DOE monitors the Grantee **AGAINST** what the Grantee said they would do in the State Plan!
 - How the funds will be spent.
 - What auditing tools will be used.
 - How Subgrantees will be monitored.
 - What results will be achieved.
 - AND MORE!

A well-defined State Plan translates to a well-defined approach to weatherizing homes and serving clients.



WAP Grant Application Submission

The Weatherization Assistance Program (WAP) grant application submission is an extensive process requiring numerous materials to document process and procedures, such as:

- Staffing
- Budgeting
- Health & Safety (H&S) Plan
- Training & Technical Assistance (T&TA) Plan
- Monitoring Plan
- Field Guides and Program Operational Manuals (i.e. financial, policies and procedures)

With these requirements, it is critical to engage your Weatherization Network to **review the annual grant application plan components** and **discuss required program updates PRIOR** to starting your plan development.

Importance of Planning

Grantees must have all key program materials updated and prepared prior to developing their Annual Grant Application Package to ensure pre-review and submission processes result in timely approvals for grant awards.

- **Early planning and preparation assures:**
 - reduced negotiated changes.
 - development of an acceptable application package more efficiently.
 - funding is available at the start of the program year, providing a positive impact on both production and expenditures for your grant.
 - flexibility to manage unforeseen changes in the Program and reduce the burden of the impact of the change (i.e. budget modifications).

Lack of Planning

Lack of planning and early preparation can result in:

- Delays in submitting grant application plans due to missing required elements (public hearing transcripts, etc.).
- Extended application review & multiple revisions.
- Delays in receiving approval and funds.

2018 Program Year

For this program year, Weatherization did not institute any major program changes or requirements for Grantees.

The majority of revisions are ‘housekeeping’ changes to ensure the Grantees have the most accurate list of resources and materials to develop their annual Weatherization Assistance Program plans.

GUIDANCE REVISIONS FOR 2018

Section 2.0 – Program Priorities and Initiatives

Page 2-3:

2.1 Addition of American Consumer Satisfaction Index

3. During the consultation with Subgrantees, a key component of the planning process for the 2018 State Plan, DOE expects Grantees to develop an action plan to enhance program management and implement process and quality improvements at the Subgrantee level.

The 2018 State Plan should include a discussion of the steps to be taken to implement the improvements developed by Grantees in conjunction with their Subgrantees.

2.2 Addition of Expenditures/Carryover

Section 3.1 – FY2018 Appropriated Weatherization Funding

Page 7:

3.3.1 The Adjusted **Average Cost Per Dwelling Unit (ACPU)** was adjusted to reflect 2.2% percentage increase in the CPI for the previous 12 month period (October 2016-September 2017).

The ACPU is revised annually with the 12 month average or 3%, whichever is less.

Section 4.1: Multi-Year Grant Awards

Page 10:

Text Revised to:

All Grantees need to make an effort to effectively utilize the entire DOE allocation in the year it is awarded. DOE will review recent reporting results to assess proposed carryover funding from previous years when applications are submitted.

5.0 Weatherization Program Notices

Page 11:

Table in the guidance is updated annually. Plus, the website allows searches by active or archived docs.

The screenshot shows a web browser window with the URL <https://energy.gov/eere/wipo/weatherization-program-guidance>. The page title is "Weatherization Program Guidance". On the left, there is a search bar and two filter sections: "Type" and "Topic". The "Type" section has checkboxes for "Active Memorandums", "Active Program Notices" (which is checked), "Archived Memorandums", and "Archived Program Notices". The "Topic" section has checkboxes for "Administrative Costs", "Clients", "Defining Income", "Disaster Relief", and "Electric Baseload". The main content area displays a table of notices, with a header indicating "Showing 1 to 10 of 26 entries (filtered from 202 total entries)". The table has four columns: "DESCRIPTION", "EFFECTIVE DATE", "TOPIC", and "TYPE".

DESCRIPTION	EFFECTIVE DATE	TOPIC	TYPE
WPN 18-1: Program Year 2018 Weatherization Grant Guidance To issue grant guidance and management information for the Weatherization Assistance Program for Program Year 2018 based on the following documents.	12/18/2017	Unclassified	Active Program Notices
WPN 17-7: Weatherization Health and Safety Guidance To clarify, update and provide additional information related to the implementation and installation of health and safety measures as part of WAP.	8/9/2017	Health & Safety	Active Program Notices
WPN Notice 17-6: Property Acquired Under the Weatherization Assistance Program Including Vehicle and Equipment Purchases This guidance serves to provide Grantees with guidance on property acquisitions, including purchasing vehicles and equipment, for use in the WAP.	7/27/2017	Unclassified	Active Program Notices
WPN Notice 17-5: Closeout Procedures for Grants Under the Weatherization Assistance Program To issue guidance to Grantees for closeout of grants funded under WAP.	7/27/2017	Unclassified	Active Program Notices
WPN 17-2A: Program Year 2017 Grantee Allocations - Revised To provide revised Grantee allocations for the preparation and submission of applications for funding of WAP for Program Year 2017.	10/3/2017	Funding; Grant Application	Active Program Notices
WPN 17-2: Program Year 2017 Grantee Allocations To provide revised Grantee allocations for the preparation and submission of applications for funding of the Weatherization Assistance Program (WAP) for Program Year (PY) 2017.	6/15/2017	Funding; Grant Application	Active Program Notices
WPN 17-4: Multifamily Housing - Procedure for Certifying Income-Eligible HUD Assisted Buildings This guidance serves to transmit updated information to the Weatherization Assistance Program (WAP) network for determining the eligibility of residential multifamily buildings associated with the U.S. Department of Housing and Urban Development (HUD).	6/5/2017	Multifamily	Active Program Notices
WPN 17-3: Poverty Income Guidelines and Definition of Income			Active

APPLICATION INSTRUCTIONS REVISIONS FOR 2018

PAGE Electronic Application

The application process is fully electronic.

Applications must be submitted on the **Performance and Accountability for Grants in Energy (PAGE)** website at <https://www.page.energy.gov/>.

The screenshot shows the homepage of the Performance and Accountability for Grants in Energy (PAGE) website. The header features the U.S. Department of Energy logo and the text "Energy Efficiency & Renewable Energy". Below this is a green banner with the text "Weatherization & Intergovernmental Program". The main heading is "Performance and Accountability for Grants in Energy (PAGE)". A navigation bar includes links for Home, Contact Us, Help, FAQs, Submit Success Story, and Login. On the left, there are login fields for "Login", "Forgot Password", and "Forgot User Name". The main content area is divided into sections: "Announcements" with a "Description" and "Date" header, a "General" icon, and a "Tip of the Day" section. The "Announcements" section includes a "HOLIDAY WEEKEND MAINTENANCE" notice dated 5/25/2013 and a "Tip of the Day" dated 2/1/2013. The "Tip of the Day" section provides instructions on how to submit a performance report. On the right, there is a "Features" sidebar with links to EERE Recovery Act Activities, Energy Efficiency and Conservation Block Grant Program, EERE Information Center, The Energy Lab, State Energy Program, and Weatherization Assistance Program. At the bottom, there are links for "Weatherization & Intergovernmental Program Home", "EERE Home", "U.S. Department of Energy", "Webmaster", "Web Site Policies", "Security & Privacy", and "USA.gov".

The homepage of the Performance and Accountability for Grants in Energy (PAGE).

Starting Your Application

Grantees generally copy the prior year application into the upcoming year and make incremental changes as opposed to starting from scratch.

U.S. Department of Energy WEATHERIZATION ASSISTANCE PROGRAM (WAP) STATE PLAN/MASTER FILE WORKSHEET		
(Grant Number:)	State:	Program Year:)
This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.		
V.1 Eligibility		
V.1.1 Approach to Determining Client Eligibility		
Provide a description of the definition of income used to determine eligibility		
<div></div>		
Describe what household Eligibility basis will be used in the Program		
<div></div>		
Describe the process for ensuring qualified aliens are eligible for weatherization benefits		
<div></div>		
V.1.2 Approach to Determining Building Eligibility		
Procedures to determine that units weatherized have eligibility documentation		
<div></div>		
Describe Reweathering compliance		
<div></div>		
Describe what structures are eligible for weatherization		
<div></div>		
Describe how Rental Units/Multifamily Buildings will be addressed		
<div></div>		
Page 1 / 21		

SF-424 Application for Federal Assistance

Performance and Accountability for Grants in Energy (PAGE)

Home	Contact Us	My Profile	Help	Training Videos	Reference Library	FAQs	Submit Success Story	Logout
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Home Grant Search: My Favorites:

Create New Application Grant #: EE0006139 Grantee: State of Arizona Status: Active

Search **Application for Federal Assistance (SF-424)**

EECBG [Import From PDF Document](#)

SEP Please select Federal Assistance (SF-424) File:

SEP Special Projects Year: 2013; Revision: 0; Status: In-process;

WAP

Application Documents

Checklist

SF-424

Budget

Annual File

Master File

Verify and Submit

Quarterly Performance Reporting

T&TA Reporting

Financial Reporting

Annual Historic Preservation

Reporting Dashboards

Reports

Data Exports to Excel

Grant Administration

WAP Training Center

Weatherization Innovative Pilot

Miscellaneous Grants

Grant Monitoring

Help Desk

1.Type of Submission: Application **2.Type of Application:** New *If Revision select appropriate letter

*Other (specify)

3. Date Received: 4/22/2010 **4. Applicant Identifier:**

5a. Fed Entity Identifier: **5b. Federal Award Identifier:** DE-EE0006139

State Use Only:

6. Date Received by State: **7. State Application Identifier:**

8. APPLICANT INFORMATION:

a. Legal Name: Governor's Office of Energy Policy

b. Employer Tax Identification Number: 866004791 **c. DUNS:** 039149351-

d. Address:

Street 1: 1700 W Washington, Suite 250

Street 2:

City: Phoenix

State: Arizona

County: MARICOPA County

Province:

Country: USA: UNITED STATES

Zip/Postal Code: 85007-

SF-424 Application for Federal Assistance

e. Organizational Unit:	
Division Name:	Office of Energy Policy
Department Name:	Arizona Governor's Office
f. Name and contact information of person to be contacted on matters involving this application:	
Search Edit	
Prefix:	Ms
First Name:	Linda
Middle Name:	
Last Name:	Brumm
Suffix:	
Title:	Fiscal Manager
Organization Affiliation:	Governor's Office of Energy Policy
Telephone Number:	(602) 771-1146
Fax Number:	(602) 771-1203
Email:	lbrumm@az.gov
9. Type of Applicant:	State Government
10. Name of Federal Agency:	Department of Energy
11. Catalog of Federal Domestic Assistance Number:	81.042 Weatherization Assistance for Low-Income Persons
12. Funding Opportunity Number:	DE-FOA-0000835
Title:	Weatherization Assistance for Low-Income Persons
13. Competition Identification Number:	
Title:	
14. Areas Affected by Project (Cities, Counties, States, etc):	Statewide
15. Descriptive Title of Applicant's Project:	Low-Income Weatherization Program
16. Congressional Districts Of:	
a. Applicant	Arizona Congressional District 04
b. Program/Project	State: Arizona
	Congressional District: Arizona-Statewide
17. Proposed Project:	
a. Start Date	7/1/2013
b. End Date	6/30/2014

SF-424 Application for Federal Assistance

18. Estimated Funding (\$):

a. Federal	\$ 316,540.00
b. Applicant	\$ 0.00
c. State	\$ 0.00
d. Local	\$ 0.00
e. Other	\$ 0.00
f. Program Income	\$ 0.00
g. TOTAL	\$ 316,540.00

19. Is Application Subject to Review By State Under Executive Order 12372 Process?:

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on
- ☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372.

20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.):

- ☐ Yes
- ☒ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ ** I AGREE

**The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

[Search](#) [Edit](#)

Prefix: Ms
First Name: Leisa
Middle Name: B
Last Name: Brug
Suffix:
Title: Energy Office Director
Telephone Number: (602) 771-1244
Fax: (602) 771-1203
Email: lbrug@az.gov

SF-424 Application for Federal Assistance

Applicants are required to attach all supporting documents to the SF-424 form.

Attachment(s):

#	File ?	Date Uploaded
No Records found		

Upload New Document

SF 424 – Key Concerns

Standard Form 424

The screenshot displays the 'Performance and Accountability for Grants in Energy (PAGE)' web application. The left sidebar contains a navigation menu with options like 'Home', 'Contact Us', 'My Profile', 'Help', 'Training Videos', 'Reference Library', 'FAQs', 'Submit Success Story', and 'Logout'. The main content area is titled 'Application for Federal Assistance (SF-424)'. It shows a 'Grant Search' field with 'Grant #': EE0006139 and 'Grantee: State of Arizona'. Below this, there's a section for 'Please select Federal Assistance (SF-424) File:' with a dropdown for 'Year: 2013; Revision: 0; Status: In-process;'. The form is divided into several sections: '1. Type of Submission:' (Application), '2. Type of Application:' (New), '3. Date Received:' (4/22/2010), '4. Applicant Identifier:', '5a. Fed Entity Identifier:', '5b. Federal Award Identifier:' (DE-EE0006139), '6. Date Received by State:', '7. State Application Identifier:', and '8. APPLICANT INFORMATION:' which includes fields for 'a. Legal Name:' (Governor's Office of Energy Policy), 'b. Employer Tax Identification Number:' (866004791), 'c. DUNS:' (039149351), and 'd. Address:' (1700 W Washington, Suite 250, Phoenix, Arizona, MARICOPA County, USA, 85007).

Items that Prompt Rejecting Plans

- When county (box 8d) or congressional districts (box 16) is left blank.
- When dates (box 17) have not been updated to the forthcoming program year.
- When federal funding amount (box 18a) does not match WPN XX-2 funding amount.
- When required attachments (listed in the table on page 6 of the application package) are not included.

PY18 Application Tips - PAGE

- If you completed and were approved for a partial obligation of funds in PY 2017, you can request the initial budget submitted for **PY2017, Revision 0**, be copied over into your PY2018 in-process plan. **This is the same initial budget for the 2017 award and was also planned to WPN 16-2a.**
- To make the request to copy over Revision 0 to your in-process State Plan for 2018, please email the request to: Page-Hotline@ee.doe.gov. Be sure to include your award number in your email to the Hotline.

SF-424A Budget – Funding Sources

Grant #:	EE0007905	Grantee: State of Arizona, Department of Housing	Status: Active
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Budget

Budget File: Program Year: 2017; Revision: 0; In-process ⬇

Print / Export

☒ Budget (SF424A)
 ☐ Budget Justification

Program: Weatherization Assistance Program	CFDA: 81.042
State: AZ	Year: 2017
Revision: 0	Period: 07/01/2016 - 06/30/2017

Section A - Budget Summary

Grant Program	Federal	Estimated Unobligated Funds	New/Revised Budgets	Total	Action
Federal	<input checked="" type="checkbox"/>	\$359,420.00	\$1,109,782.00	\$1,469,202.00	
Total		\$359,420.00	\$1,109,782.00	\$1,469,202.00	

Add New Funding Source

To access the budget justification information, click on the object class category name. For example, click on "Personnel" in order to access the budget justification associated with personnel.

Using the "Object Class Categories" in the SF-424A Budget form, justify the costs in each category. The proposed budget costs are estimated values and invoicing shall be calculated from actual costs incurred for each of the cost categories. Fee or profit will not be paid to award grantees or subgrantees of financial assistance awards. Contingencies are expressly unallowable, as indicated in 2 CFR, Part 225 (all estimated costs should be allocated to a cost category).

Items identified as direct costs to the project may not be duplicative costs included in the indirect pool that is the basis of any indirect rate applied for this project.

SF-424A Budget – Funding Sources

Budget

Add Fund Source

Fund Source Type:

Estimated Unobligated Funds:

New / Revised Budget:

Description:

✓ Federal
Applicant
Local
Other
Program Income
State
Petroleum Violation Escrow
3rd Party Contributions

Save

Cancel

SF-424A Budget – Add Budget Column

Section B - Budget Categories

Edit Budget Columns

Object Class	GRANTEE ADMINISTRATION	SUBGRANTEE ADMINISTRATION	GRANTEE T&TA	SUBGRANTEE T&TA	PROGRAM OPERATIONS
	Edit	Edit	Edit	Edit	Edit
Personnel	\$26,656.00	\$0.00	\$53,188.00	\$0.00	\$0.00
Benefits	\$10,396.00	\$0.00	\$20,743.00	\$0.00	\$0.00
Travel	\$7,725.00	\$0.00	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Contract	\$0.00	\$103,103.00	\$45,000.00	\$102,031.00	\$920,410.00
Construction	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other	\$10,711.00	\$0.00	\$3,100.00	\$0.00	\$0.00
Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00
Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Object Class Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00

SF424A Budget – Budget Categories

Budget

Program: Weatherization Assistance Program

CFDA: 81.042




























State: AZ

Year: 2017

Revision: 0

Period: 07/01/2016 - 06/30/2017

Add, Delete or Edit Budget Category

Budget Activity Code	Description	
ADM	GRANTEE ADMINISTRATION	 
SADM	SUBGRANTEE ADMINISTRATION	 
TTA	GRANTEE T&TA	 
STTA	SUBGRANTEE T&TA	 
MSL	PROGRAM OPERATIONS	 
H&S	HEALTH AND SAFETY	 
V&E	VEHICLES AND EQUIPMENT	
INS	LIABILITY INSURANCE	 
LCNC	LOW COST/NO COST	
LEVER	LEVERAGING	
EAUD	ENERGY AUDITS	
FAUD	FINANCIAL AUDITS	 
CRISIS	ENERGY CRISIS	
SPEC1	SPECIAL PROJECTS I	
SPEC2	SPECIAL PROJECTS II	
SPEC3	SPECIAL PROJECTS III	
SPEC4	SPECIAL PROJECTS IV	
SPEC5	SPECIAL PROJECTS V	
NA	Not Applicable/non-WAP	

Close

III.2 Budget Categories – Section B

Page 22:

Indirect Costs: Updated text to clarify:

“a rate proposal and an explanation why there is not a federally-approved rate agreement must be included with the application. If DOE determines it will be the Grantee’s cognizant Agency for an Indirect rate agreement, the rate agreement will be finalized during award negotiations.”

SF-424A Budget – Completing the Budget

Section B - Budget Categories

Edit Budget Columns

Object Class	GRANTEE ADMINISTRATION	SUBGRANTEE ADMINISTRATION	GRANTEE T&TA	SUBGRANTEE T&TA	PROGRAM OPERATIONS
	Edit	Edit	Edit	Edit	Edit
<u>Personnel</u>	\$26,656.00	\$0.00	\$53,188.00	\$0.00	\$0.00
<u>Benefits</u>	\$10,396.00	\$0.00	\$20,743.00	\$0.00	\$0.00
<u>Travel</u>	\$7,725.00	\$0.00	\$0.00	\$0.00	\$0.00
<u>Equipment</u>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<u>Supplies</u>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<u>Contract</u>	\$0.00	\$103,103.00	\$45,000.00	\$102,031.00	\$920,410.00
<u>Construction</u>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<u>Other</u>	\$10,711.00	\$0.00	\$3,100.00	\$0.00	\$0.00
Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00
<u>Indirect</u>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Object Class Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00

III.2 Budget Categories – Section B

Page 20:

Fringe: Clarified some of the language to discuss if there is not a current, federally-approved rate agreement.

SF-424A Budget – Completing the Budget

Section B - Budget Categories

Edit Budget Columns

Object Class	GRANTEE ADMINISTRATION	SUBGRANTEE ADMINISTRATION	GRANTEE T&TA	SUBGRANTEE T&TA	PROGRAM OPERATIONS
	Edit	Edit	Edit	Edit	Edit
Personnel	\$26,656.00	\$0.00	\$53,188.00	\$0.00	\$0.00
Benefits	\$10,396.00	\$0.00	\$20,743.00	\$0.00	\$0.00
Travel	\$7,725.00	\$0.00	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Contract	\$0.00	\$103,103.00	\$45,000.00	\$102,031.00	\$920,410.00
Construction	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other	\$10,711.00	\$0.00	\$3,100.00	\$0.00	\$0.00
Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00
Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Object Class Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00

SF-424A Budget – Object Classes (Lines in Budget)

Section B - Budget Categories

Edit Budget Columns

Object Class	GRANTEE ADMINISTRATION	SUBGRANTEE ADMINISTRATION	GRANTEE T&TA	SUBGRANTEE T&TA	PROGRAM OPERATIONS
	Edit	Edit	Edit	Edit	Edit
Personnel	\$26,656.00	\$0.00	\$53,188.00	\$0.00	\$0.00
Benefits	\$10,396.00	\$0.00	\$20,743.00	\$0.00	\$0.00
Travel	\$7,725.00	\$0.00	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Contract	\$0.00	\$103,103.00	\$45,000.00	\$102,031.00	\$920,410.00
Construction	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other	\$10,711.00	\$0.00	\$3,100.00	\$0.00	\$0.00
Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00
Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Object Class Total	\$55,488.00	\$103,103.00	\$122,031.00	\$102,031.00	\$920,410.00

III.3 Budget Justification

Page 19:

Added text to announce an update to PAGE to help manage developing budgets.

"To address feedback received from Grantees, DOE enhanced the PAGE system to provide an "Auto Calculate" option that will adjust the multipliers for each entry to achieve whole dollar values for Personnel, Fringe and Indirect Costs categories."

Budget Justification

An in-depth discussion in the Application Instructions explains the Object Class categories (lines in budget):

- Personnel
- Fringe benefits
- Travel
- Equipment
- Supplies
- Contractual
- Construction
- Other direct costs
- Indirect costs

Budget Justification – PAGE Example

Home

Create New Application

Search

EECBG

SEP

SEP Special Projects

WAP

Application Documents

Checklist

SF-424

Budget

Annual File

Master File

Verify and Submit

Quarterly Performance Reporting

T&TA Reporting

Financial Reporting

Annual Historic Preservation

Reporting Dashboards

Reports

Data Exports to Excel

Grant Administration

WAP Training Center

Weatherization Innovative Pilot

Miscellaneous Grants

Grant Monitoring

Help Desk

Grant Search:

My Favorites:

Grant # : EE0007905

Grantee: State of Arizona, Department of Housing

Status: Active

Budget

Program: Weatherization Assistance Program

CFDA: 81.042

State: AZ

Year: 2017

Revision: 0

Period: 07/01/2016 - 06/30/2017











Budget - Personnel

Prime Applicant only (all other participant costs are listed under contracts and form SF-424A, Section B. Line 6.f. Contracts and Sub-Grants).

Identify by title each position to be supported under the proposed award. Briefly specify the duties of professionals.

Section B Total: \$79,844.00

Total: \$79,843.80

Title/Group Category	Description of Duties	Method	Time/Percent	Rate/Salary	Total	Action
Program Administrator	Directs day to day programmatic activities, supervises program staff, approves WAP contracts, compiles and submits reports, recommends program and policy direction, reviews and approves sub-grantee reimbursements, participates in audits	Percent	15.00	\$84,157.00	\$12,623.55	 
Energy Specialist	Provides training, technical assistance and on-site monitoring of sub-grantees	Percent	50.00	\$64,046.00	\$32,023.00	 
Program Specialist	Responsible for WAP contract preparation, orgnalization of Sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of Sub-grantees	Percent	60.00	\$50,128.00	\$30,076.80	 
Program Specialist	Responsible for WAP contract preparation, orgnalization of Sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of Sub-grantees	Percent	5.00	\$49,843.00	\$2,492.15	 
Program Specialist	Responsible for WAP contract preparation, orgnalization of Sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of Sub-grantees	Percent	5.00	\$52,566.00	\$2,628.30	 

Add New Personnel

Back

Budget Justification – PAGE Example

WAP

Application Documents

Checklist

SF-424

Budget

Annual File

Master File

Verify and Submit

Quarterly Performance Reporting

Quarterly Performance Reporting

Financial Reporting

Annual Historic Preservation

Reporting Dashboards

Reports

Data Exports to Excel

Grant Administration

WAP Training Center

Weatherization Innovative Pilot

Miscellaneous Grants

Grant Monitoring

Help Desk

Program: Weatherization Assistance Program

State: AZ

Revision: 0

CFDA: 81.042

Year: 2017





Period: 07/01/2016 - 06/30/2017

Budget - Travel

a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

Section B Total: \$7,725.00

Total: \$7,725.00

Purpose of travel	Est. Num. of Trips	Est. Cost per Trip	Total	Action
Program and Financial monitoring of sub-grantees.	15	\$315.00	\$4,725.00	 
2 out of state trips to NASCSP Conference including airfare, hotel, meals, ground transportation at \$1,500 each.	2	\$1,500.00	\$3,000.00	 

Add New Travel

b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

Edit

Grantee follows the State Travel Policy regarding travel. <http://www.gao.az.gov/travel/>

Back

Carryover Explanation

- The Grantee must include an explanation of any estimated carryover, broken down by the budget categories.
- Grantees must allocate as the funds are currently budgeted.
- The carryover explanation shall be provided in a separate spreadsheet or other document attached to the [SF-424 Application](#) in PAGE.

SF 424 – Key Concerns



Standard Form 424 A: Budget

Grant #: EE0007905 **Grantee:** State of Arizona, Department of Housing **Status:** Active

Budget


Budget File: Program Year: 2017; Revision: 0; In-process

Print / Export

☒ Budget (SF424A) ☐ Budget Justification  

Program: Weatherization Assistance Program CFDA: 81.042
State: AZ Year: 2017
Revision: 0 Period: 07/01/2016 - 06/30/2017

Section A - Budget Summary

Grant Program	Federal	Estimated Unobligated Funds	New/Revised Budgets	Total	Action
Federal	<input checked="" type="checkbox"/>	\$359,420.00	\$1,109,782.00	\$1,469,202.00	
Total		\$359,420.00	\$1,109,782.00	\$1,469,202.00	

[Add New Funding Source](#)

To access the budget justification information, click on the object class category name. For example, click on "Personnel" in order to access the budget justification associated with personnel.

Using the "Object Class Categories" in the SF-424A Budget form, justify the costs in each category. The proposed budget costs are estimated values and invoicing shall be calculated from actual costs incurred for each of the cost categories. Fee or profit will not be paid to award grantees or subgrantees of financial assistance awards. Contingencies are expressly unallowable, as indicated in 2 CFR, Part 225 (all estimated costs should be allocated to a cost category).

Items identified as direct costs to the project may not be duplicative costs included in the indirect pool that is the basis of any indirect rate applied for this project.

Items that Prompt Rejecting Plans

- When section A total does not equal section B total!
- When budgets are not rounded to whole dollar, as required.
- When appropriate comments are not included in budget/detail pages.
- When Grantee changes budget numbers after PO initial review.

SF 424 – Key Concerns

Items that Prompt Rejecting Plans

- FRINGE – rates do not match or make sense with the supporting information/detail provided.
- INDIRECT COSTS – Rate is not current and a newer one can be found on the state website.
- OTHER – ODCs are budgeted but it is clear they should be under other object class budget categories (e.g., contractual, equipment).

Annual File

Weatherization Assistance Program Annual File

IV.2 WAP Production Schedule

Weatherization Plans		Units
Total Units (excluding reweatherized)		183
Rewateritized Units		0

IV.3 Energy Savings

Method used to calculate savings:
 ☒ WAP algorithm
 ☐ Other (describe below)
 [Edit](#)

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	183	29.3	5,362
Prior Year Estimate	0	29.3	0
Prior Year Actual	0	29.3	0

Method used to calculate savings description [Edit the full text...](#)

Production and Energy Savings
 These are estimates for PY16
 Total Units (excluding re-weatherized) 138

I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$5,029.56

WAP
Arizona Congressional District 04

Total
Add New Record

Save Save & Close Cancel & Close

Annual File – Key Concerns

IV.3 Energy Savings

IV.3 Energy Savings

Method used to calculate savings: ☒ WAP algorithm ☐ Other (describe below) [Edit](#)

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	183	29.3	5,362
Prior Year Estimate	0	29.3	0
Prior Year Actual	0	29.3	0

Method used to calculate savings description [Edit the full text...](#)

Production and Energy Savings

These are estimates for PY16

Total Units (excluding re-weatherized) 138

Items that Prompt Rejecting Plans

- When information provided in the narrative box was not updated for the current program year.
 - Strive to leave box blank (if using WAP algorithm) OR
 - Use timeless language that does not require annual updating
- When units used in calculation do not match production schedule.

Annual File - Continued

IV.5 Policy Advisory Council Members

☐ Check if an existing state council or commission serves in this category and add name below

Policy Advisory Council Member

Action

[Ariz](#) IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)



IV.7 Miscellaneous

[Edit the full text...](#)

Business Officer: Kathy Blodgett, CDR Programs Administrator, kathy.blodgett@azhousing.gov, 602-771-1021
Principle Investigator: Michael Frary, Energy Specialist, michael.frary@azhousing.gov, 602-771-1042 PAC: Additional...

[South](#)

Add New Record

[Southwest Gas Corporation](#)



[Tucson Electric Power Company](#)

























Add New Record

Annual File – Key Concerns

IV.5 Policy Advisory Council

IV.5 Policy Advisory Council Members
☐ Check if an existing state council or commission serves in this category and add name below

Policy Advisory Council Member	Action
Arizona Community Action Association (ACAA)	 
Arizona Housing Alliance	 
Arizona Public Interest Research Group (AZ-PIRG)	 
Arizona Public Service Company	 
Foundation for Senior Living	 
Gila County Community Action	 
Maricopa County	 
NACOG	 
Salt River Project	 
Southwest Gas Corporation	 
Tucson Electric Power Company	 
<input type="button" value="Add New Record"/>	

Items that Prompt Rejecting Plans

- **When, for several years running, the PAC is inactive or has unfilled positions.**
 - DOE recognizes “things happen” so if it is a first year of an inactive PAC, DOE can “live with it” but, if this is recurring, there is need for intervention.
- **PAC meeting notes indicating WAP plan is not attached to the SF-424.**

Public Hearing Process



Public Hearing Process

The Grantee Program Manager:



- Typically presides over the public hearing. (Each state is different and some states may have an administrative law judge presiding.)
- Outlines the Grantee Plan and notes any changes from the previous year.
- Opens the public hearing to questions and responds to them.

IV.7 Hearings and Transcripts

The submission of a transcript of the Grantee's public hearing is now required and not voluntary.

Annual File – Key Concerns

IV.6 Public Hearings

IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)		
Date Held	Newspapers that publicized the hearings and the dates the notice ran	Action
03/08/2016	The Arizona Department of Housing (ADOH) held two (2) public hearings for input and comment on the Plan. The dates, times, and locations of the Public Hearings are provided to sub-grantees, Policy Advisory Council members and other interested parties through email, and posting on the Arizona Department of Housing website) at www.housing.az.gov . Additionally, the hearings were advertised in the 5 major newspapers in the state including the Arizona Daily Sun (Flagstaff), Arizona Daily Star (Tucson), Arizona Republic (metropolitan Phoenix), Kingman Daily Miner (Kingman) and the Yuma Sun (Yuma). The public hearing notifications were published at least ten calendar days prior to the date of the Public Hearings scheduled for March 8th, 2016 at 1p.m. and April 13, 2016 at 10:00 a.m. Due to a technical difficulty during the April 13th Public Hearing, callers were unable to connect to the hearing. Therefore, those callers were invited to a teleconference public hearing on April 19th, 2016 at 9 a.m.. The transcripts from all hearings have been attached to the SF424 Application.	 
Add New Record		

Items that Prompt Rejecting Plans

- Grantee did not allow 10 days notice of hearing.
- Plan changed so substantially since the public hearing, DOE deems it necessary to have another hearing.
- Transcript/Notes are not provided.
 - At times, transcripts are not available in time to include with the SF-424. Work with POs to get FAO started on review and transcript can be later added to the SF-424.

Master File - Eligibility

The following slides include the required information for the Master File section:

V.1 Eligibility

- V.1.1 Client Eligibility.
 - Household Eligibility.
 - Qualified Aliens.

The screenshot shows a web application interface for the Weatherization Assistance Program Master File. At the top, there is a header bar with a 'Grant Search' field, a 'My Favorites' dropdown, and a 'Status: Active' indicator. Below this, the 'Grant #' is 'EE0007905' and the 'Grantee' is 'State of Arizona, Department of Housing'. The main title is 'Weatherization Assistance Program Master File'. A description states: 'The WAP Master File provides the grantee with a location to describe, via narratives, various aspects of the weatherization initiatives'. Below this is a 'Master File' section with a dropdown menu showing 'Program Year: 2017; Revision: 0; In-process' and a print icon. A note indicates that data in text fields is abbreviated and can be expanded by clicking 'Edit the full text...'. The main content area is divided into three sections, each with a title and a description, and an 'Edit the full text...' link. The first section is 'V.1 Eligibility' with a sub-section 'V.1.1 Approach to Determining Client Eligibility'. The second section is 'Household Eligibility' and the third is 'Qualified Aliens Receiving Weatherization Benefits'.

Grant Search: My Favorites:

Grant #: EE0007905 Grantee: State of Arizona, Department of Housing Status: Active

Weatherization Assistance Program Master File

The WAP Master File provides the grantee with a location to describe, via narratives, various aspects of the weatherization initiatives

Master File: Program Year: 2017; Revision: 0; In-process

The data in the text fields is shown in abbreviated form. To edit the full text click on "Edit the full text..." button

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

Provide a description of the definition of income used to determine eligibility [Edit the full text...](#)

Every dwelling weatherized must meet both client and building eligibility requirements.

Arizona definition of low-income: Household Income is at or below 200% of the federal poverty level determined in accordance with criteria established by the Office of the Secretary, U.S. Department of Health and Human Services

Describe what household Eligibility basis will be used in the Program [Edit the full text...](#)

Each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The file must also contain evidence provided by the sub-grantee that the client is income eligible to receive WAP services. This evidence may include, but is not limited to, third party verification from the source of income of the family or...

Describe the process for ensuring qualified aliens are eligible for weatherization benefits [Edit the full text...](#)

Qualified Aliens Receiving Weatherization Benefits

Grantees are directed and encouraged to review guidance provided by Health and Human Services (HHS) under LIHEAP. This guidance can be found by going to <http://www.aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml#ser1>

Master File – Building Eligibility

V.1.2 Determining Building Eligibility

- Eligibility documentation.
- Reweatherization.
- Eligible structures.
- Rental Units & Multifamily Buildings
- Deferrals

V.1.2 Approach to Determining Building Eligibility	
Procedures to determine that units weatherized have eligibility documentation	Edit the full text...
Sub-grantees must document the eligibility of the residence to receive weatherization assistance through the following process:	
Verify that the home's occupants are income qualified for WAP Verify that the home has not been weatherized before by filling out the state's No Previous Weatherization Checklist which includes	
Describe Reweatherization compliance	Edit the full text...
Re-weatherization	
The Recovery Act amended the DOE Weatherization dates and now allows grantees and sub-grantees to re-weatherize homes previously weatherized prior to September 30, 1994. This provision gives grantees the flexibility to re-visit those homes that may not have received the full complement of weatherization services	
Describe what structures are eligible for weatherization	Edit the full text...
Once a client has been deemed income qualified then residence eligibility can be determined. Eligible residences must be safe for the occupants; sub-grantees; crews; and/or contractors to work in without concern for their health and safety.	
The primary housing types served by the Arizona WAP program are single family, manufactured housing, and	
Describe how Rental Units/Multifamily Buildings will be addressed	Edit the full text...
All sub-grantees are required to weatherize single family and multi-family rental housing.	
The State of Arizona has established a policy to ensure that sub-grantees weatherizing rental units determine financial eligibility and obtain written permission of the owner or his agent. In multiple unit buildings the state ensures 66 percent (50 percent for duplexes or four unit buildings) of the bu	
Describe the deferral Process	Edit the full text...
The decision to defer work in a dwelling is difficult, but necessary, in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are identified. Note that sub-grantees, including crews and contractors, are expected to pursue reasonable options on behalf of the client, including...	

Master File – Children and Tribal Organizations

V.1.3 Definition of Children

V.1.4 Approach to Tribal Organizations

V.1.3 Definition of Children

Definition of children (below age):

V.1.4 Approach to Tribal Organizations

☒ Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

[Edit the full text...](#)

As members of a sovereign Tribal nation, Tribal members are entitled to those services afforded to all members of that Tribal nation. In Arizona, weatherization services are provided through Tribal agencies such as the Navajo Nation and the Inter-Tribal Council of Arizona who contract directly with the U.S. Department of Energy and the utility providers. Agencies should consult with those two enti...

Master File – Areas to be Served & Service Delivery

V.2 Selection of Areas to Be Served

V.3 Priorities for Service Delivery

V.2 Selection of Areas to Be Served

[Edit the full text...](#)

Arizona utilizes 10 local Weatherization agencies to fully implement the State Plan and provide services to the eligible population of Arizona, excluding the Tribal Nations. Project service areas are historical in nature, originating many years ago at the time of community action agency establishment in Arizona. Service area boundaries are typically drawn along county lines or tribal land boundar...

V.3 Priorities for Service Delivery

[Edit the full text...](#)

Sub-grantees shall give priority to clients based on the list of priorities established in the Arizona State Plan which includes the following:

- Elderly
- Handicapped

Master File – Climate Conditions

V.4 Climatic Conditions

V.4 Climatic Conditions

[Edit the full text...](#)

The climate conditions for Arizona range from low dry arid desert to mountain/alpine cold. The summer months of the desert from June through September will bring a dry heat ranging from 90–120 °F (32–49 °C), with occasional high temperatures exceeding 125 °F (52 °C). The winter months of the plateau and High Mountain/alpine range of the state experience extremely cold temperatures from cold air s...

Master File – Weatherization Work to be Done

V.5 Weatherization Work to be Done

- **V.5.1 Technical Guides and Materials**
 - Field Guides.
 - Procedures manuals.
- **V.5.2 Energy Audit Procedures**
- **V.5.3 Final Inspection**

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials[Edit the full text...](#)

Achieving an energy-efficient house is really a question of doing a few things very well and understanding that the house is a system, with all components of the house working together. The following are the areas we concentrate on:

Getting the home tight (air sealing) Insulating the home right (focus on insulation performance, not just

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family	Arizona WAP will follow the priority list approved by DOE in September 2011 and in the event that a measure is not on the Priority List, REM Design will be utilized to determine cost effectiveness.
Manufactured Housing	Arizona WAP will follow the priority list approved by DOE in September 2011 and in the event that a measure is not on the Priority List, REM Design will be utilized to determine cost effectiveness.
Multi-Family	Arizona WAP currently does not have an approved multifamily priority list. Multifamily with 5 or more units per building will have to go through DOE for approval. See multifamily section for further details.

Save

Comments

[Edit the full text...](#)

The WAP Energy Audit Procedure must be used by all sub-grantees to gather, record and analyze data on structures. This data must be used to deliver weatherization materials/measures in a fashion that protects the health and safety of the client, increases the durability of the structure, increases the comfort of the client and reduces the energy cost to the client in a cost effective manner.

V.5.3 Final Inspection[Edit the full text...](#)

A weatherized unit is a dwelling unit on which an approved energy audit or priority list has been applied and weatherization work has been completed. Sub-grantees and their contractors/vendors have an obligation to perform their work to the SWS and the Arizona Weatherization Field Guide. The use of DOE funds on a unit may include, but are not limited to: auditing, testing, measure installation, an...

Master File – Weatherization Analysis

V.6 Weatherization Analysis of Effectiveness

- This is not monitoring!

V.6 Weatherization Analysis of Effectiveness

[Edit the full text...](#)

Grantee has a process to track energy savings by using utility usage analysis which compares completed measure cost in a home to annual savings of utility usage. This is done by comparing the energy usage of randomly picked weatherized home utility usage at least 18 months prior and after weatherization work was completed. The before usage and after usage is subtracted to obtain the actual energy...

Health & Safety Guidance Update

Updated the Health & Safety Guidance from WPN 11-6 to WPN 17-7 in the following sections:

III.2 Budget Categories (Page 10) Within Table 2:

Health & Safety (Page 16)

V.7 Health and Safety (H&S)

Master File – Weatherization Analysis

V.7 Health & Safety

V.7 Health and Safety

[Edit the full text...](#)

Please see the Arizona Department of Housing Weatherization Health and Safety Plan that has been uploaded as an attachment to the SF424

Master File – Program Management

V.8 Program Management

- Overview & Organization
- Administrative Expenditure limits
- Monitoring
- Training & Technical Assistance

V.8 Program Management

V.8.1 Overview and Organization[Edit the full text...](#)

The Arizona DOE Weatherization Program is located within the Arizona Department of Housing (ADOH). In addition to DOE funds for weatherization, ADOH manages Weatherization funds awarded by DES LIHEAP Weatherization Program and Utility funds. Other.

An Organization charts showing how the office is structured is attached to the SE-424. The responsibilities of

V.8.2 Administrative Expenditure Limits[Edit the full text...](#)

Arizona will allocate 5% to sub-grantees and retain 5% out of the allowable total of 10% for administration. An additional five percent (5%) of the base allocation will be made available to sub-grantees receiving grants of less than \$350,000 of new DOE money.

V.8.3 Monitoring Activities[Edit the full text...](#)

The state has a responsibility to perform monitoring and oversight of the work performed by the sub-grantee. DOE requires the state to perform a comprehensive monitoring of each sub-grantee annually. DOE requires 5 percent inspection of completed jobs and also recommends performing inspection on in-progress homes. The state will visit a minimum of 5 percent of completed jobs. If the state discover...

V.8.4 Training and Technical Assistance Approach and Activities[Edit the full text...](#)

T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities shall be designed to maximize energy savings, minimize production costs, improve program management, crew and contractor quality of work, and reduce the potential for waste, fraud, abuse and mismanagement. The state assesses the training ne...

PY18 Application Tips and Reminders

II. Application for Federal Assistance – SF 424

The following sentence and web link were revised:

The list of certifications and assurances for Field 21 can be found ~~on the DOE Financial Assistance Forms Page~~ at:

<https://energy.gov/management/downloads/certifications-and-assurances-use-sf-424>

PY18 Tips – Funding Language

- Include language in State Plan and in Public Hearing clearly explaining how final allocations will adjust planning numbers to eliminate need for an additional public hearing once FY18 is final.
 - DOE’s aim is to minimize burden on Grantees.
- Have PO review State Plan sections “early and often” to expedite review.
- Craft Subgrantee agreements that mirror DOE’s language regarding incremental funding and the necessity to adjust based on FY18 final budget.

Application Submission Process Reminders

- Try and be prompt when responding to DOE's comments on your application package. Delays will only delay receiving your funding!
- Complete SF424 form in full – don't forget to check all applicable boxes!
- Don't forget to attached all required documents and materials to the SF424.
- Make sure the 424A Budget Sections totals match in PAGE.
- Make sure the fringe rates match in PAGE.
- Double check any indirect cost rate agreements are current.

Summary

- A Program Manager should capturing feedback throughout the year for possible changes and refinements. Start developing the annual application as soon as possible after the release of the grant guidance. This affords the most time to complete the application by the target approval date.
- The Grantee PM is usually responsible for the application and drives the process.
- Any questions the PM has related to the Application should be directed to the appropriate DOE Project Officer.