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

Grantees generally copy the prior year application into the upcoming year and make incremental changes as opposed to starting from scratch.
SF-424 Application for Federal Assistance

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<th>Information</th>
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<td></td>
<td>Department Name: Arizona Governor’s Office</td>
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<tr>
<td>f. Name and contact information of person</td>
<td>Prefix: Ms</td>
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<td>to be contacted on matters involving this</td>
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<tr>
<td></td>
<td>Telephone Number: (602) 771-1146</td>
</tr>
<tr>
<td></td>
<td>Fax Number: (602) 771-1203</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:lbrummit@az.gov">lbrummit@az.gov</a></td>
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</tbody>
</table>

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-FDA-00038SS
   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 ($)**

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<th>Item</th>
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<td>TOTAL</td>
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**19. Is Application Subject to Review By State Under Executive Order 12372 Process?:**
- ○ This application was made available to the State under the Executive Order 12372 Process for review on _____________.
- ○ Program is subject to E.O. 12372 but has not been selected by the State for review.
- ○ 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**

**Authorized Representative:**

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<tr>
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Applicants are required to attach all supporting documents to the SF-424 form.
SF 424 – Key Concerns

Standard Form 424

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

### Program: Weatherization Assistance Program
- **CFDA:** 81.042
- **Year:** 2017
- **Period:** 07/01/2016 - 06/30/2017

### Section A - Budget Summary

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<th>Grant Program</th>
<th>Federal</th>
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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

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
### Section B - Budget Categories

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<th>Object Class</th>
<th>Grantee Administration</th>
<th>Subgrantee Administration</th>
<th>Grantee T&amp;TA</th>
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SF424A Budget – Budget Categories

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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

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</tbody>
</table>
Page 20:

**Fringe**: Clarified some of the language to discuss if there is not a current, federally-approved rate agreement.
## Section B - Budget Categories

<table>
<thead>
<tr>
<th>Object Class</th>
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### Indirect
- Total: $0.00

### Object Class Total
- Total: $55,488.00, $103,103.00, $122,031.00, $102,031.00, $920,410.00
### SF-424A Budget – Object Classes (Lines in Budget)

<table>
<thead>
<tr>
<th>Object Class</th>
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<th>SUBGRANTEE ADMINISTRATION</th>
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**Indirect**

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<thead>
<tr>
<th>Object Class</th>
<th>GRANTEE ADMINISTRATION</th>
<th>SUBGRANTEE ADMINISTRATION</th>
<th>GRANTEE T&amp;TA</th>
<th>SUBGRANTEE T&amp;TA</th>
<th>PROGRAM OPERATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>$55,488.00</td>
<td>$103,103.00</td>
<td>$122,031.00</td>
<td>$102,031.00</td>
<td>$920,410.00</td>
</tr>
</tbody>
</table>
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.”
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**

The image shows a budget justification page for a grant with the following details:

**Grant Search:**
- Grant #: EED007905
- 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 not 6.9.1 Contracts and Sub-Grants).

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

<table>
<thead>
<tr>
<th>Title/Group Category</th>
<th>Description of Duties</th>
<th>Method</th>
<th>Time/Percent</th>
<th>Rate/Salary</th>
<th>Total</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Administration</td>
<td>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</td>
<td>Percent</td>
<td>15.00</td>
<td>$84,157.00</td>
<td>$12,623.55</td>
<td></td>
</tr>
<tr>
<td>Energy Specialist</td>
<td>Provides training, technical assistance and on-site monitoring of sub-grantees</td>
<td>Percent</td>
<td>50.00</td>
<td>$64,046.00</td>
<td>$32,023.00</td>
<td></td>
</tr>
<tr>
<td>Program Specialist</td>
<td>Responsible for WAP contract preparation, organization of sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of sub-grantees</td>
<td>Percent</td>
<td>60.00</td>
<td>$50,128.00</td>
<td>$30,076.00</td>
<td></td>
</tr>
<tr>
<td>Program Specialist</td>
<td>Responsible for WAP contract preparation, organization of sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of sub-grantees</td>
<td>Percent</td>
<td>5.00</td>
<td>$49,843.00</td>
<td>$2,492.15</td>
<td></td>
</tr>
<tr>
<td>Program Specialist</td>
<td>Responsible for WAP contract preparation, organization of sub-grantee reporting, processes reimbursement documentation, conducts desk monitoring and on-site monitoring of sub-grantees</td>
<td>Percent</td>
<td>5.00</td>
<td>$52,566.00</td>
<td>$2,628.30</td>
<td></td>
</tr>
</tbody>
</table>
Budget Justification – PAGE Example

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

<table>
<thead>
<tr>
<th>Purpose of travel</th>
<th>Est. Num. of Trips</th>
<th>Est. Cost per Trip</th>
<th>Total</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program and Financial monitoring of sub-grantees.</td>
<td>15</td>
<td>$315.00</td>
<td>$4,725.00</td>
<td><img src="edit_button.png" alt="Edit" /></td>
</tr>
<tr>
<td>2 out of state trips to NASCSP Conference including airfare, hotel, meals, ground transportation at $1,500 each.</td>
<td>2</td>
<td>$1,500.00</td>
<td>$3,000.00</td>
<td></td>
</tr>
</tbody>
</table>

Total: $7,725.00

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.


[Add New Travel](add_button.png)
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

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.
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).
### IV.2 WAP Production Schedule

#### Weatherization Plans

<table>
<thead>
<tr>
<th>Total Units (excluding reweatherized)</th>
<th>183</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reweatherized Units</td>
<td>0</td>
</tr>
</tbody>
</table>

#### IV.3 Energy Savings

| Method used to calculate savings: | WAP algorithm | Other (describe below) |

<table>
<thead>
<tr>
<th>This Year Estimate</th>
<th>183</th>
<th>29.3</th>
<th>5,362</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Year Estimate</td>
<td>0</td>
<td>29.3</td>
<td>0</td>
</tr>
<tr>
<td>Prior Year Actual</td>
<td>0</td>
<td>29.3</td>
<td>0</td>
</tr>
</tbody>
</table>

**Method used to calculate savings description**

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

<table>
<thead>
<tr>
<th>Average Vehicles &amp; Equipment Acquisition Cost per Unit (from line E)</th>
<th>$0.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Average Cost per Dwelling (H plus I)</td>
<td>$5,029.56</td>
</tr>
</tbody>
</table>
IV.3 Energy Savings

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

<table>
<thead>
<tr>
<th>Policy Advisory Council Member</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ariz.</td>
<td></td>
</tr>
</tbody>
</table>

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

IV.7 Miscellaneous

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...

- Southwest Gas Corporation
- Tucson Electric Power Company

Add New Record
IV.5 Policy Advisory Council

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

10

NEWSPAPER

Illinois
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.
IV.6 Public Hearings

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.
V.1.2 Determining Building Eligibility

- Eligibility documentation.
- Reweatherization.
- Eligible structures.
- Rental Units & Multifamily Buildings
- Deferrals
V.1.3 Definition of Children

Definition of children (below age): 18

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.

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...
V.2 Selection of Areas to Be Served

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 boundaries.

V.3 Priorities for Service Delivery

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
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...
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.6 Weatherization Analysis of Effectiveness

• This is not monitoring!
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)
Please see the Arizona Department of Housing Weatherization Health and Safety Plan that has been uploaded as an attachment to the SF424.
## V.8 Program Management

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

### V.8 Program Management

#### V.8.1 Overview and Organization

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 LINEAP Weatherization Program and Utility funds. Other.

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

#### V.8.2 Administrative Expenditure Limits

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

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 3 percent of completed jobs. If the state discovers...

#### V.8.4 Training and Technical Assistance Approach and Activities

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
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:
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.