

PY 2021 STATE PLAN DEVELOPMENT

NASCSP Webinar

January 5, 2021



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Agenda

- ▶ Regulation & Guidance Review
- ▶ PY21 Application Grant Guidance
- ▶ Consolidated Appropriations Act of 2021
- ▶ WAP Plan Components
- ▶ Success Strategies for State Plan Development

Code of Federal Regulations (CFR)

Visit
NASCSP's
website for
Regulations

Listed in the
WAPTAC

Regulations



Federal Regulations & Statutes Relevant to WAP

WAP Enabling Legislation

-This link to the US Code (42 USC Sec. 6861) provides the enabling legislation and current statute for the Weatherization Assistance Program.

10 CFR 440

-10 CFR 440 within the Code of Federal Regulations covers interpretation and insight on programmatic topics relating to WAP, including: Purpose, scope, definitions, allocation formula, minimum requirements, oversight, training, and reports.

2 CFR 200

-2 CFR 200 contains the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. This addresses most financial matters related to WAP.

Appendix A – Standards for Weatherization Materials

-Appendix A served as the original list of approved materials for the WAP

LIHEAP Enabling Legislation

-This link to the LIHEAP clearinghouse provides access to the statutes covering LIHEAP

45 CFR 96.83

-This section of the Code of Federal Regulations covers the procedure for submitting a waiver to transfer above 15% of LIHEAP funds into WAP

WPNs and Memos

WAP Grant Guidance documents are issued by DOE as **Weatherization Program Notices (WPN)**.

WPNs can never contradict a regulation or statute but can be adjusted to reflect changes or refinements in the program.

Memos make announcements, highlight program elements, and/or provide reminders about guidance pieces that are currently in effect.

Access DOE WPNs and Memo's [here](#)



Department of Energy
Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 21-1
ISSUED DATE: December 4, 2020

SUBJECT: PROGRAM YEAR 2021 WEATHERIZATION GRANT APPLICATION

INTENDED AUDIENCE: Weatherization Grantee Managers, Weatherization Subgrantee Managers

INTENDED USE: Content of this document, as well as the two attachments, is intended to provide programmatic information to Weatherization Managers to guide the development of an annual Weatherization Assistance Program (WAP) Grantee Plan to ensure that funds are dispersed to weatherization providers in a timely manner.

The Department of Energy (DOE) issues Weatherization Program Notice (WPN) 21-1 annually to specifically address changes from one Program Year (PY) to the next. These changes are often precipitated by Congressional inquiries, administrative priorities, including new initiatives from other federal agencies, monitoring in the field, and feedback from the network of stakeholders. The annual document, issued as a WPN, serves to highlight and remind Grantees of these issues and provide them with additional resources so they may include the information as appropriate to their specific circumstances in applying for the WAP formula funds.

The attachments to this WPN serve as programmatic, financial, and legal resources with clarifying information on areas of the Application Package that must be incorporated into the Grantee Plan. The WAP Grant Application Package materials and data are submitted through WAP's reporting system, Performance and Accountability for Grants in Energy (PAGE).

This WPN includes the following sections:

- 1.0 Purpose
- 2.0 Program Priorities and Initiatives
- 3.0 Funding
- 4.0 Applications for WAP Annual Formula Grants
- 5.0 Weatherization Program Notices and Memoranda
- 6.0 Website Information

Grant Guidance

WAP Grant Guidance documents are numbered as **WPN XX-Y**, where XX denotes 2-digit year, and Y denotes the document number within the Program Year.

WEATHERIZATION PROGRAM NOTICES AND MEMORANDUMS

Showing 1 to 20 of 24 entries (filtered from 252 total entries)

DESCRIPTION	EFFECTIVE DATE	TOPIC	TYPE
WPN 21-1: Program Year 2021 Weatherization Grant Application These documents provide programmatic information to weatherization managers to guide the development of an annual Weatherization Assistance Program (WAP) Grantee Plan to ensure that funds are dispersed to weatherization providers in a timely manner.	12/4/2020	Application Instructions	Active Program Notices
WPN 20-3: 2020 Poverty Income Guidelines and Definition of Income To provide Grantees with the 2020 Poverty Income Guidelines and Definition of Income for use in the Low-Income Weatherization Assistance Program (WAP).	2/13/2020	Definition of Income	Active Program Notices
WPN 20-2: Program Year 2020 Grantee Allocations To provide Grantee allocations for the preparation and submission of applications for funding of WAP for Program Year (PY) 2020.	2/10/2020	Funding	Active Program Notices

PY 2021 Application Guidance

WPN 21-1 - released December 4, 2020

- Includes Administrative and Legal Requirements and Application Instructions
- For planning purposes, use WPN 20-2 Appropriated Funds until WPN 21-2 is released by DOE.
- Grantees should include language in their draft state plans and in public hearing notices that explains final WAP allocations in WPN 21-2 will include adjustments from planning numbers.

PY 2021 State Plan Due Dates

Program Year:
Starting April 1, 2021

Due Date:
February 2, 2021

Program Year:
Starting July 1, 2021

Due Date:
May 3, 2021

- The complete application package is due by 12:00 noon
- Contact your DOE PO as soon as you submit in PAGE
- When possible, submit early to allow time for revisions

PY 2021 Application Guidance

OPTION to Combine Program Years

Grantees who need to Combine Program Years for relief from the maximum allowable Average Cost per Unit (ACPU) for PY 2020 must:

- Contact their DOE Project Officer **early** in the process
- Receive DOE approval prior to combining program years
- Relief from ACPU is the **only** reason to combine program years

PY2021 ACPU
= \$7,776

If a Grantee does NOT need relief from the ACPU, incorporate the carryover into the PY 2021 budget through the normal state plan process.

PY 2021 Application Guidance

- Select “**Continuation**” if you will submit a PY 2021 application
- Select “**Revision**” if your DOE PO has given approval to combine program years.
- Your PO will provide Supplemental Instructions: WAP Grant Applications Instructions for an Extended Budget Period Combining Program Years

PY 2021 Application Guidance

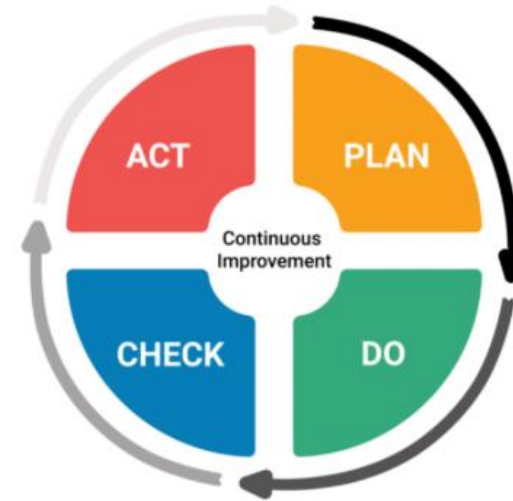
DOE Updated the Application Instructions in PY 2021

- Section IV Climatic Conditions was added back into the Master File in PAGE.
- In September 2018, Congress directed DOE to begin tracking window replacements which support the reduction of lead-based paint hazards.
 - Reporting requirements are in the Federal Assistance Reporting Checklist, DOE F 4600.2 - attached to your award agreement in FedConnect.

PY 2021 Application Guidance

American Customer Satisfaction Index (ACSI)

- In 2019, DOE WAP conducted the ACSI of all WAP Grantees
- Grantees must include an overview of their ACSI Action Plan (Section IV.7)
 - Detail specific actions and initiatives taken to make improvements
 - NASCSP 2019 ACSI working group [summary report](#) was published and available on the WAP Member Portal



WPN	Title	Funding	Grant Application	Procurement	Monitoring	Clients	Multifamily	Material Procurement	Rental Requirements	Energy Audit Criteria	Health and Safety	Renewable Energy Systems	Disaster Relief	Eligibility Levels	Defining Income	Priority Service	Fuel Switching	Incidental Repairs	Reweathering	Vehicle Purchases	Policy Advisory Council	Electric Base Load	Administrative Costs	Historic Preservation	Eligible Dwelling Units
10-8	WAP Guidance on Maintaining the Privacy of Recipients Services					x																			
10-10	Reprogramming T&TA Funds to Program Operations	x																							
10-12	Historic Preservation Implementation																							x	
11-3	Policy Regarding the Use of DOE Program Funds to Pay for Call-Back/Add-On Work After Reported to DOE As A Completed Unit																								x
11-14	Updated Subgrantee Selection Guidance		x																						
12-7	Disaster Planning and Relief												x												
15-4	Quality Work Plan Requirement		x		x																				
16-5	Multifamily Weatherization						x							x											x
16-6	Weatherization of Rental Units								x																x
17-4	Multifamily Housing – Procedure for Certifying Income-Eligible HUD Assisted Buildings						x							x											
17-5	Closeout Procedures for Grants Under the Weatherization Assistance Program		x																						
17-6	Property Acquired Under the Weatherization Assistance Program Including Vehicle and Equipment Purchases							x												x					

WPN Chart Crosswalk Tool

Found in
WPN 21-1

Program Memorandums that are Currently Active

- [WAP Memorandum 002: Reminder of Client Priority - High Energy Burden](#)
- [WAP Memorandum 008: Quality Management Plan Draft Grantee KSAs](#)
 - [Attachment 1: Grantee-Level WAP Specific \(Technical Elements\)](#)
 - [Attachment 2: Grantee-Level Weatherization Assistance Program \(WAP\) Specific](#)
 - [Attachment 3: Grantee-Level Non-Weatherization Assistance Program \(WAP\) Specific/Financial](#)
- [WAP Memorandum 009: Availability of Testing Result Reports for the Quality Control Inspector Written Exam](#)
- [WAP Memorandum 010: Quality Management Plan - Record Keeping and Reporting](#)
- [WAP Memorandum 015: Weatherization Financial Toolkit 2 CFR 200 Regulation and Procurement Policies](#)
- [WAP Memorandum 020: Clarification on DOE Evaluation Studies vs. Independent Studies](#)
- [WAP Memorandum 022: Allowable Use of Training Funds for Network Conferences](#)
- [WAP Memorandum 024: The Use of Solar PV in the WAP](#)
- [WAP Memorandum 032: Update to Field Guide Expiration Reminder for WAP Grantees – New Variance Request Form](#)
- [WAP Memorandum 034: Clarification of WPN 15-4; Definitions of Comprehensive Training](#)
- [WAP Memorandum 035: Weatherization Leveraging](#)
- [WAP Memorandum 036: Energy Auditor and Quality Control Inspector Certification Scheme Updates](#)
- [WAP Memorandum 038: Solution Summits Results](#)
- [WAP Memorandum 039: Update to Field Guide Expiration Reminder for WAP Grantees – New Variance Request Samples](#)
- [WAP Memorandum 041: Weatherization Assistance Program GovDelivery Distribution List](#)
- [WAP Memorandum 047: WAP PY18 Average Cost Per Unit Correction](#)
- [WAP Memorandum 048: Updated Maintenance Process to the Standard Work Specifications](#)
- [WAP Memorandum 050: Crew Lead and Retrofit Installer/Technician Job Task Analysis and Certification Updates, and Badges Toolkit](#)
- [WAP Memorandum 051: ACSI Grantee Survey Results](#)
- [WAP Memorandum 054: American Customer Satisfaction Index \(ACSI\) – Subgrantee Survey](#)
- [WAP Memorandum 059: 2020 Weatherization Grant Application Active Weatherization Program Notices Update](#)
- [WAP Memorandum 060: Weatherization Assistance Program Frequently Asked Questions Related to COVID-19](#)
- [Weatherization Memorandum 062: Weatherization Assistance Program's Response to Guidelines for Opening Up America Again - Phase One & Frequently Asked Questions \(FAQs\)](#)
- [Weatherization Memorandum 063: Historic Preservation Prototype Programmatic Agreements Amendment Process](#)
- [Weatherization Memorandum 066: Historic Preservation Prototype Programmatic Agreements Amendment](#)

Memo Chart Crosswalk Tool

Found in
WPN 21-1

PY2021 Grant Budget Guidance

Administrative Budget Categories

- New guidance added to clarify that only the new PY total allocation should be used in determining administrative allowances.
- Allowable administrative budget calculations:
 - New PY total allocation x 5 percent (or less) = Grantee Admin
 - New PY total allocation x 5 percent = Subgrantee Admin*
 - Then Grantee can carryover (add) previously budgeted Admin amount *provided there is sufficient support and justification for their continued use.*

*Note - We would expect the same allocations to apply to the 15% Admin authorized in the Consolidated Appropriations Act of 2021. However, until DOE issues guidance on Admin allocations, you can use the prior year budget allocations in WPN 20-2.

- New PY total allocation x 7.5 percent (or less) = Grantee Admin
- New PY total allocation x 7.5 percent = Subgrantee Admin*

Consolidated Appropriations Act 2021

Reauthorized the Weatherization Program through 2025

A few of the changes:

- ▶ Appropriates \$310 million for WAP in FY2021, this represents a \$5 million increase from FY2020.
- ▶ Admin increased to 15% - DOE GC is reviewing but it will apply to 2021
- ▶ Re-weatherization date moved to rolling 15 years
 - ▶ Copy and paste language from bill (p.3269)
 - ▶ <https://rules.house.gov/sites/democrats.rules.house.gov/files/BILLS-116HR133SA-RCP-116-68.pdf>
- ▶ Included renewables and other advanced technologies
- ▶ Encourages states to disperse funds in a timely manner
- ▶ Encourages the use of private contractors in the WAP

NASCSP (Ian Gray, Legislative and Communications Manager) will record a **separate webinar** the first week in January on all WAP related changes resulting from the Consolidated Appropriations Act of 2021.

See details in the January 6th E-News

Grant Application Components

- Health and Safety Plan ([WPN 17-7](#))
 - DOE Updated the optional Health and Safety Plan Template for PY2021
 - [New H&S Template](#)
- Training and Technical Assistance Plan
 - Comprehensive and Specific Training
 - Optional [T&TA Template](#)
 - HEP Certification Updates [WAP Memo 36](#)
- Monitoring Plan
 - Consider revising for remote/virtual applications
 - [WPN 20-4](#) and [WPN 15-4](#)
 - Optional [Monitoring Plan Template](#)

Optional Budget Categories

Manage the ACPU by using Optional Budget Categories

- Vehicles and Equipment
 - Can amortize the vehicle costs over multiple years
- Liability Insurance
- Health and Safety
 - Limits expressed as a % of the ACPU
 - COVID impacts on H&S costs
 - Over 15% triggers secondary review
- Leveraging Plan
 - Up to 15% of grant to develop partnerships
 - Obtain non-Federal resources to increase # of homes weatherized



Leveraging Resources

NASCSP Resources:

<https://nascsp.org/wap/wap-resources/leveraging-resources/>

Weatherization Leveraged Partnership Project

<https://communityactionpartnership.com/energy-partnerships/>

State Plan Leveraging Language Templates

<https://communityactionpartnership.com/wp-content/uploads/2018/07/State-Plan-Leveraging-Model-Language.pdf>

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Success Strategies for State Plan Development

Success Strategies

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

Success Strategies

#1 -Start early

- Update policy and procedure manuals, health and safety plans, monitoring documents, T&TA plans.
- Review the new WPN and Memo releases since the last plan
- Host in-person meeting with WAP Subgrantees for input into plan the quarter **before** your planning starts
- Set placeholders on your calendar for state planning time

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










































Success Strategies

#2 Talk to your DOE Project Officer

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

Success Strategies

#3 Develop timeline and gain commitment


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

Success Strategies

#4 Communicate Often

Recommend at least THREE planning meetings:

Subgrantee Network -
Start early in the process



Policy Advisory Council -
Review performance goals and policies



Formal Public Hearing -
Mandatory 10 days notice & transcript

Success Strategies

#5 Manage it through to approval

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

DOE Planning Resources

- **DOE WAP Guidance**

- <https://www.energy.gov/eere/wipo/weatherization-program-guidance>

- **DOE WAP Training Resources & Planning Calendar**

- <https://www.energy.gov/eere/wipo/weatherization-program-guidance>

- **DOE WAP Quality Work Plan**

- <https://www.energy.gov/eere/wipo/quality-work-plan-requirements>

More soon!

- We know you still have many questions
- NASCSP will continue to provide guidance and information as soon as it is released from DOE.
- Remember, this is when you communicate the most with your DOE project officer
 - Reach out early and often during the state planning process

NASCSP Resources

NASCSP Winter Conference

Building the Road Ahead

A Virtual Experience | March 8-12, 2021

Register [here](#)

NASCSP Website & Member Portal

<https://nascsp.org>

WAPTAC

<https://nascsp.org/wap/technical-assistance-centerwaptac/>



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