Weatherization Program Notice 99-4

Effective Date - October 16, 1998

SUBJECT: UPDATED WEATHERIZATION ASSISTANCE PROGRAM APPLICATION PACKAGE AND REVISED REPORTING FORMS

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

SCOPE: The provisions of this guidance apply to all grantees applying for financial assistance under the Department of Energy?s (DOE) Weatherization Assistance Program for Low-Income Persons. The application package dated December 1997 and issued as Weatherization Notice 98-3, became effective with the Program Year 1998 grant cycle. Twenty-eight (28) grantees, including the District of Columbia, used the December 1997 application package. For any State that experienced delays in implementing the new application, DOE accepted applications for Program Year 1998 using the old application package. However, all States will be required to use the new application package for Program Year 1999.

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

The December 1997 grant application package has been updated and restructured to incorporate the revised reporting forms. These changes will streamline the current application process and promote national consistency in the operations of the Weatherization Program among States.

DOE continues to install WinSAGA in States and expects to launch the new WinSAGA system for use with the 1999 Weatherization application. This windows-based data system is designed to further simplify and enhance the grant application and reporting process. Enhanced system features will include electronic application submission, project status reporting and improved grants/data management. The system will incorporate and complement changes to the application package. Although WinSAGA participation is not mandatory, DOE encourages all States to be connected. While DOE provides the primary components for WinSAGA implementation, States may incur some costs to ensure computer system compatibility. States may include the costs for hardware/software acquisition in revisions to the FY 1998 State plan/budgets or as part of their PY 1999 plan/budgets for Weatherization.

Until WinSAGA is fully operational, States will continue the paper submission of all applications and reports. As WinSAGA weatherization sites come on-line, States will be able to phase-in their use of the electronic system features. For those States that elect not to participate in WinSAGA, DOE will continue to accept the paper submission of applications and reports.

PROCEDURES: Formatting and a number of substantive changes have been made to the December 1997 application package. With publication of the October 1998 revised application package, States are asked to discard the December 1997 package. The format of the grant application was standardized for national consistency and to expedite review. The grant application components continue to be divided into two "files": the "Annual File" and the "Master File." The "Annual File" contains all the grant application components that change annually (e.g., budget, production schedule, training and technical assistance activities, etc.). The "Master File" contains the application components that are generally unchanged from the previous year (e.g., the State?s climatic conditions, the extent to which priority will be given to the weatherization of single-family or other high energy consuming dwelling units, etc.).

A checklist which applicants should use to cross-reference 10 CFR 440 rules sections to grant application components is provided in Section 1.3 of the application package. This checklist can also be used to determine if a particular grant application component belongs in the Annual or the Master File. The changes to this edition of the application package do not affect the lists of components that comprise the Annual File and the Master File (see Weatherization Program Notice 98-3.)

NOTE: If Program Year 1999 is the first program year that a State uses the new application package, then all, grant application components must be submitted so that the U. S. Department of Energy has all information on file for later inclusion in the State's Master File.

Changes in the application package numbering format have been made. In addition, significant changes were made to the programmatic reports that were issued in the December 1997 version. The Office of State and Community Programs (OSCP) strongly encourages DOE?s Regional Support Offices to hold pre-award meetings with their States to review these changes.

CHANGES IN FORMAT: The October 1998 revision re-formats the numbering of pages in the application package from sequential throughout the package, to modular, section-by-section numbering. This system is being adopted so that as future changes occur only those pages affected within each section will need to be reissued. The table of contents and the checklist in Section 1.3 have been updated accordingly.

Budget

The Object Class Categories on the Federal Assistance Budget Information, Form DOE F 4600.4, have been reordered to match the WinSAGA screens. This will help facilitate States' smooth transition from paper submissions to WinSAGA.

Changes in Programmatic Reports

There are a number of reports that must be submitted. In addition to meeting Program requirements, the information from these reports will allow OSCP to prudently manage this Program. Significant changes occurred in the programmatic reports. The programmatic reporting forms were redesigned, including the addition of menu choices in several categories, to facilitate

easier retrieval of the information reported. The reports affected are listed and explained, by subject matter, in this Program Notice.

Reports

Prior to the issuance of the December 1997 application and reporting package, the Federal Assistance Management Summary Report (FAMSR) was used to collect Program production and outlays, Training and Technical (T&TA), monitoring and leveraging information. The information gathered from the FAMSR was not consistent throughout the Country. Also, the FAMSR did not permit easy retrieval of program data. The FAMSR is no longer used by the States who use the revised application package.

The December 1997 application and reporting package introduced six programmatic reporting forms. They were the Weatherization Program Quarterly Outlays and Funding Report and the Weatherization Program Quarterly Production Report, both of which were due quarterly; T&TA Report, Monitoring Report, and Leveraging Report, all of which are due semi-annually; and the Success Story Format which we requested that States submit as successes occur, but at least semi-annually.

With this October 1998 revision those six reports were reduced to five. The five revised programmatic reports are listed and explained below. Once WinSAGA is fully operational, States will be able to submit these reports electronically. Until then, paper submissions are necessary. A diskette containing these five reports in WordPerfect 6.1 spreadsheets is included with this grant guidance for your convenience.

Quarterly Program Report

The Weatherization Program Quarterly Outlays and Funding Report and the Weatherization Program Quarterly Production Report were combined into one new streamlined report, the Quarterly Program Report, to capture the production and expenditures for the quarter. Please note that enhanced or leveraged units are no longer captured on this report. This report, which has three (3) sections, is due 30 days after the end of the quarter.

Section I. - Grant Outlays - *Funds Subject to DOE Program Rules* , is designed to report on expenditure of funds, by source and by function, which are included in the grant budget. Outlays in Section A. must equal outlays in Section B. and total grant outlays reported in this section must equal the outlays reported on the Financial Status Report, line l0.d.

Section II. - Grant Production - *Units Subject to DOE Program Rules* , is designed to capture the total units produced. *Section A., Total Annual Energy Savings* is requested for the final report, only. *Section B., Total Units Completed with DOE Funds* , is where DOE only units are reported. Please do not include re-weatherized units in this section. *Section C., Total Units Completed with Grant Funds* , is asking for those units that were weatherized with all funds included in the approved DOE grant budget, all sources. Re-weatherized units should be reported in *Section C4,* only.

Section 111 - Comments, is where States should include any additional information that clarifies grant outlays and/or production reported for the quarter.

Training and Technical Assistance

The *Training and Technical Assistance (T& TA) Report* is designed to elicit a <u>summary</u> of the T&TA activities that States provide. Routine day-to-day activities are not being requested on this report. Rather, only those T&TA activities that States would normally report to DOE are requested. The information gleaned from these reports may be used to facilitate peer-to-peer training, technical assistance and possible resolution of similar problems. The T&TA report is due semi-annually, 30 days after the end of the reporting period.

For ease of retrieval, T&TA activities are broken down into three types. They are technical T&TA which may include combustion appliance testing, programmatic T&TA which may include procurement training, and client education which may include educating the client either during the application process or onsite at the client's home. A separate paper report is requested on each type of T&TA activity provided during the reporting period. The report allows for two entries per page. Please add additional pages, if necessary.

The T&TA report has seven (7) items. In Item 1, the name of the activity is requested. Item 2, Activity Type(s) provides a menu from which States may select the focus of the training. More than one selection may be made. Item 3, Delivery Methods, provides a menu for the method of delivery. Please do not include T&TA provided at the time of subgrantee monitoring in this report. This information should be submitted on the monitoring report only. States may make more than one selection in this category, as well. In Item 4, T&TA Provider(s), please list the person(s) or entity providing the T&TA. Item 5, Target Audience, provides a menu from which States may select the audience(s) for which T&TA was provided. Item 6, Participating Subgrantees, requests that all subgrantees participating in the T&TA be listed. In Item 7, Comments, please include any clarifying information.

Monitoring Report

In the Monitoring Report, DOE is requesting summary information that identifies successes as well as significant problems identified and resolved, as opposed to each and every problem that is found during the reporting period. Only those official visits that would normally be reported to DOE, not routine day-to-day activities, are requested. The monitoring report is due semi-annually, 30 days after the end of the reporting period. The data from this report may be used to identify national trends; assist in assessing needs for future special programs and projects; and will help build agenda topics for future conferences.

The OSCP is revising the monitoring requirements to feature less Federal presence, e.g., monitoring of the States would occur at a minimum of every two years instead of the current yearly requirement. The data from the monitoring report will assist in Federal desk monitoring during the year that on-site monitoring does not occur.

The monitoring report consists of four items. Item 1 asks that all subgrantees monitored be listed and that the number of visits made to each subgrantee, by focus, be listed. The focus types are Program/Technical (P/T); Administrative/Fiscal (A/F); and Financial Audit Follow-up (FAF).

Item 2, Summary of monitoring this reporting period, requests only a summary or overview of the monitoring that occurred during the preceding six-month period, including positive findings and innovations as well as challenges/problems.

Item 3, Issue identification and resolution, is requesting a brief description of issues identified and/or resolved during the reporting period.

Item 4, Number of units inspected by the State this reporting period, is to be answered only when Program/Technical monitoring has occurred and should include the total number of units inspected derived from all of the subgrantees that received such monitoring.

Leveraging Report

The Leveraging Report is designed to collect information on the use of leveraged funds. States should report on activities which took place using DOE funds as well as activities undertaken with outside resources that are managed at the State level or that flow through the local agencies. The Leveraging Report is to be submitted semi-annually, 30 days after the end of the reporting period.

This Leveraging Report consists of five items. Item 1, Leveraging Projects, asks that only units completed and resources (funds or value of services and/or materials) provided for the reporting period be included. In Item la, Organization Providing Resources, list the source of funds. Item lb, Type of Project, provides a menu from which States can select the type of project being reported. Item ic, Units, indicates the number of units completed for the reporting period. Item id, Resources, indicates the funds expended or market value of the materials or services, rounded to the nearest dollar, provided during the reporting period.

In Item 2, Participating Subgrantees, please list all subgrantees participating in leveraging activities during the reporting period. In Item 3, Highlights of Project(s), please describe project highlights and/or innovative aspects of the project(s). For Item 4, Status and Impact of Project(s), indicate the status of the project (first year of a multi-year project, start-up phase, etc.) and/or impact of this project on statewide activities, and any plans for follow-up or replication. In Item 5, Comments, include any clarifying information.

Success Stories

From time-to-time OSCP continues to receive requests to provide success stories" to DOE upper management and to the Congress. Success stories are formally requested on a semi-annual basis, but States are encouraged to send success stories as often as they occur. Each success story should be captured on a separate page.

The Success Story format consists of 10 items. In Item 1, indicate the name of the activity. In Items 2 and 3, indicate the name and telephone number of the State office person to contact for more information. For Item 4, list the type of activity. A menu of activity types is included in this item. This will facilitate easy retrieval of the information. Item 5 is where the type(s) of resource(s) (dollars, in-kind, etc.), and the specific source of the resource(s) should be indicated. Item 6 requests the beginning and ending dates of the project. In Item 7 please list the subgrantees involved in the activity and in Item 8, indicate other participants in the activity. In Item 9, describe the activity, whether it is a pilot project, training activity, etc. In this item, please include the location of the project within the state, the Federal Congressional district, the desired outcome(s) or anticipated result. In Item 10, describe the status and/or impacts of this activity on statewide activities including plans for follow-up activities and/or replicability.

SUMMARY: All grantees have received their PY 1998 Weatherization grant awards. Twenty-eight (28) grantees, including the District of Columbia, elected to use the new application package. The Office of State and Community Programs is very pleased that so many States used the new package. In anticipation of and in preparation for the States to use the new package, several Regional Support Offices held pre-award meetings with their States. From those pre-award meetings a pattern evolved where, generally, the application package was well received. However, it quickly became evident that the programmatic reporting forms needed some additional work. The programmatic reports discussed in this notice were reviewed, revised and, with this notice are reissued. A number of States commented on these revised forms, including one State that proposed an alternative to the leveraging report. We appreciate all comments and, to the maximum extent practicable, have incorporated them, including adopting the State-suggested alternative to the leveraging report.

The Weatherization network of OSCP, Regional Support Offices, States and the National Association of State and Community Services Programs, are collaborating on an endeavor to review, revise and update the Program?s regulations. It is anticipated that these revisions will eventually necessitate other changes to the application package and reporting forms. As OSCP continues to officially implement the new application package and reporting requirements, we will use this time to monitor the revised process and will make additional changes to the package and forms as experience dictates.

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