

# Grantee Training for PY 2013 Application Process

March 12 & 13, 2013



Before submitting your 2013 Weatherization Assistance Program (WAP) Application Package, review the following documents to ensure the application package is in compliance with all requirements:

- Funding Opportunity Announcement (FOA) for 2013:  
DE-FOA-0000835 (To be posted at a later date)
- Weatherization Program Notice 13-1 (Guidance)  
Currently posted at: [http://waptac.org/data/files/website\\_docs/government/guidance/2013/wpn-13-1.pdf](http://waptac.org/data/files/website_docs/government/guidance/2013/wpn-13-1.pdf)
- Weatherization Program Notice 13-2 (Allocations)  
(To be posted at a later date)
- Weatherization Assistance Program Application Instructions  
Currently posted at: [http://waptac.org/data/files/website\\_docs/government/guidance/2013/application-package-february2013-final.pdf](http://waptac.org/data/files/website_docs/government/guidance/2013/application-package-february2013-final.pdf)

## What we will cover:

- An overview of changes in the WAP Program in 2013
- PAGE changes including a detailed, section by section discussion of new or revised formatting within the Annual and Master File
- Brief discussion of the process after the application has been submitted

- All Grantees will receive a new grant award this year, with the 2013 Allocation. There will no longer be 5-year grant periods. Grants will run for 3 years (see section 2.2 of WPN 13-1), then close out, and a new grant will begin.
- If you are still performing work under your current annual award, a request for extension may be submitted, as covered later in this presentation.
- The 2013 Formula FOA will not be posted to Grants.gov. The FOA will be posted in FedConnect, and available only to eligible Applicants. **FedConnect is the official website for FOA information.**

- It is highly recommended that your FedConnect Administrator add users (in your organization) pertinent to the WAP. This will allow these users to have access to the FOA and future modifications to the FOA when posted on FedConnect.
- The FOA will also be posted on the WAPTAC website, for viewing by other WAP Community Stakeholders.
- All general questions regarding the FOA must be submitted via FedConnect, so that other eligible Applicants may benefit from the answer. Questions specific to your application may be directed to your Project Officer.
- Applications must be submitted directly to PAGE. There will not be a Grants.gov portal and applications will not be accepted via FedConnect.

## 4 Steps Need to be Completed Prior to Submitting the 2013 WAP Application

*(You may have already completed these steps in a prior year. If so, it is not necessary to complete them again.)*

1. Applicants must obtain a DUNS number. <http://fedgov.dnb.com/webform>

**If the DUNS number changed from last year, please contact your Project Officer immediately.**

2. Applicants must register in SAM (formerly CCR) or update your registration <https://www.sam.gov/portal/public/SAM/>
3. Applicants must register with FedConnect in order to access the FOA, submit questions, and receive award notices. [www.fedconnect.net](http://www.fedconnect.net)
4. Applicants must have an active PAGE account in order to submit an application. To activate an account, contact the PAGE Helpdesk at 1-866-492-4546 or via email at [PAGE-Hotline@ee.doe.gov](mailto:PAGE-Hotline@ee.doe.gov)

- All applications must be submitted within the **Performance and Accountability for Grants in Energy (PAGE)** System
  - <http://www.page.energy.gov/>
- If you do not have a PAGE account, contact the helpdesk at (866) 492-4546 or via email at [PAGE-Hotline@ee.doe.gov](mailto:PAGE-Hotline@ee.doe.gov)
- PAGE has an extensive Help section available on their website. It includes videos and tutorials about how to use the system.
  - <https://www.page.energy.gov/Helpc/PAGE.htm>

# Requests for Extensions to 2012 Awards

- For the current active annual awards, Grantees that require an extension of the period of availability of funds must obtain prior approval from DOE, as indicated in 10 CFR 600.230(d)(2)
- The Grantee will be required to submit an SF-424 (as a revision to Program Year 2012) in PAGE which identifies the new budget end date in Block 17. b. and \$0 in Block 18.
- The Grantee must also provide an explanation for the extension request, for DOE's consideration, as an attachment to the SF-424 in PAGE, along with any additional supporting documentation if changes to the Grantee Plan are proposed.

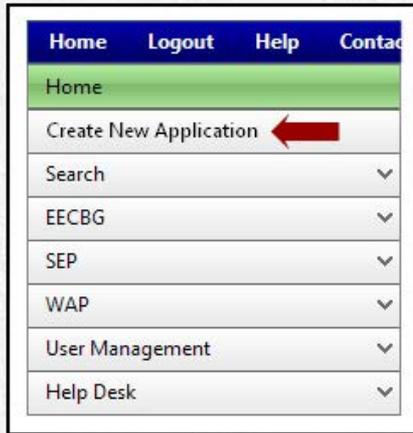
Program Year Start Date	Deadline for Extension Requests
April 1 <sup>st</sup>	Due March 14 <sup>th</sup>
July 1 <sup>st</sup>	Due May 15 <sup>th</sup>
October 1 <sup>st</sup>	Due August 15 <sup>th</sup>

**Note: Extension requests not received by the deadlines above may not be approved by the Program Year start date.**

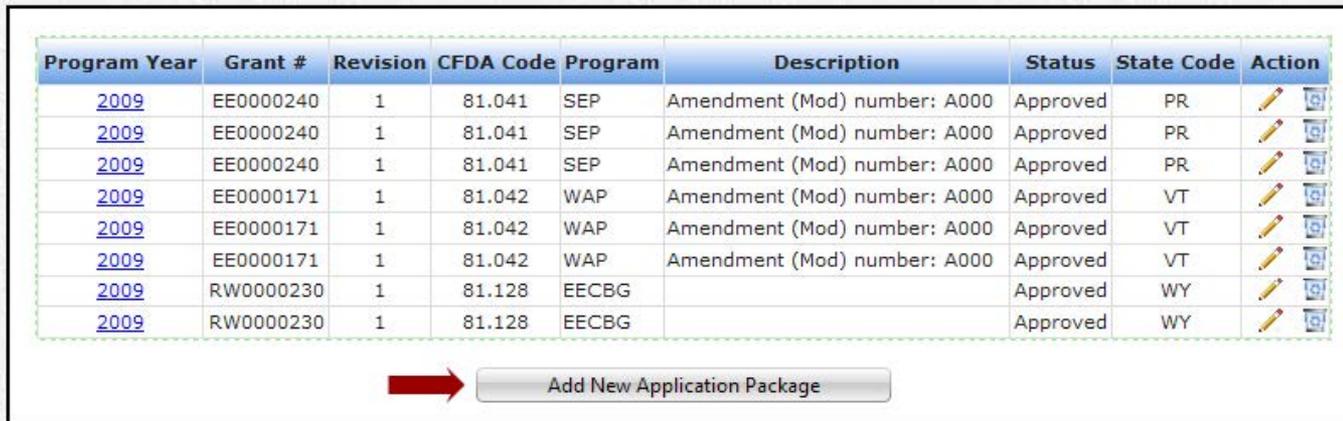
- The 2013 Application will be started from the previous grant number (2012).
- Use the options on the PAGE Checklist screen to ‘Copy’ data from the 2012 plan into the 2013 plan.
- Once this has been done, notify the PO that you are ready for the grant number to be changed.
- The PO will assign a new grant number and notify the grantee that the change has been made.
- The grantee may now complete the 2013 plan under the new grant number.

## Create a New Application package

1. Once logged into PAGE, click on the **Create New Application** link on the left navigation menu



2. Click on the **Add New Application Package** button



# Beginning the Application in PAGE

<a href="#">Home</a>	<a href="#">Contact Us</a>	<a href="#">My Profile</a>	<a href="#">Help</a>	<a href="#">Training Videos</a>	<a href="#">Reference Library</a>	<a href="#">FAQs</a>	<a href="#">Submit Success Story</a>	<a href="#">Logout</a>
Home	<b>Grant #:</b> EE0000195		<b>Grantee:</b> State of Missouri				<b>Status:</b> Active	
<b>Create New Application</b>	<b>Add New Application Package</b>							
Search <input type="text"/>								
EECBG <input type="text"/>								
SEP <input type="text"/>								
SEP Special Projects <input type="text"/>								
WAP <input type="text"/>								
Miscellaneous Grants <input type="text"/>								
Help Desk <input type="text"/>								
<b>Application Package Info</b>								
<b>Program\CFDA:</b>	<input type="text" value="Weatherization Assistance for Low-Income Persons"/>							
	<b>Program Name:</b> Weatherization Assistance for Low-Income Persons <b>Program Code:</b> WAP <b>CDFA Code:</b> 81.042 <b>Program Description:</b> The Weatherization Assistance Program enables low-income families to permanently reduce their energy bills by making their homes more energy efficient. During the last 32 years, the U.S. Department of Energy's (DOE) Weatherization Assistance Program has provided weatherization services to more than 6.2 million low-income families.							
<b>Program Year:</b>	<input type="text" value="2013"/>							
<b>Opportunity Code:</b>	<input type="text" value="DE-FOA- 0000835"/>							
<b>Start Date:</b>	<input type="text" value="04/01/2013"/>							
<b>End Date:</b>	<input type="text" value="03/31/2014"/>							
<b>Description:</b>	<input type="text" value="PY 2013 WAP Application"/>							
<b>Grant Number:</b>	<input type="text" value="EE0000195"/>							
<input type="button" value="Save"/> <input type="button" value="Cancel"/>								

4. Once your application package is created you will be taken to the checklist page where all of your necessary application documents are listed, along with their status.

Document Description	Status	
<a href="#">Annual File</a>	Not Created	 
<a href="#">Application For Federal Assistance (SF-424)</a>	Not Created	 
<a href="#">Budget (SF-424A)</a>	Not Created	 
<a href="#">Master File</a>	Not Created	 
<a href="#">Project/Performance Site Location</a>	Not Created	

[Print All](#)

[Add Document](#)

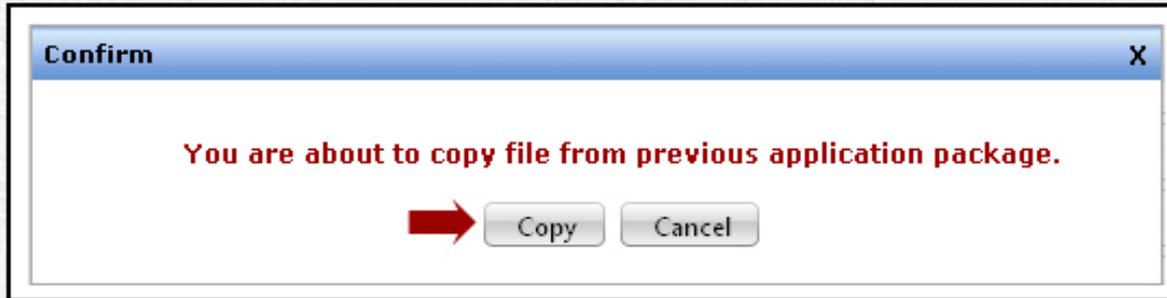
5. To access a document, click on the link under the **Document Description** column. To copy the previous application's document to the new application, click on the copy icon

Document Description	Status	
<a href="#">Annual File</a>	Not Created	 
<a href="#">Application For Federal Assistance (SF-424)</a>	Not Created	 
<a href="#">Budget (SF-424A)</a>	Not Created	 
<a href="#">Master File</a>	Not Created	 
<a href="#">Project/Performance Site Location</a>	Not Created	

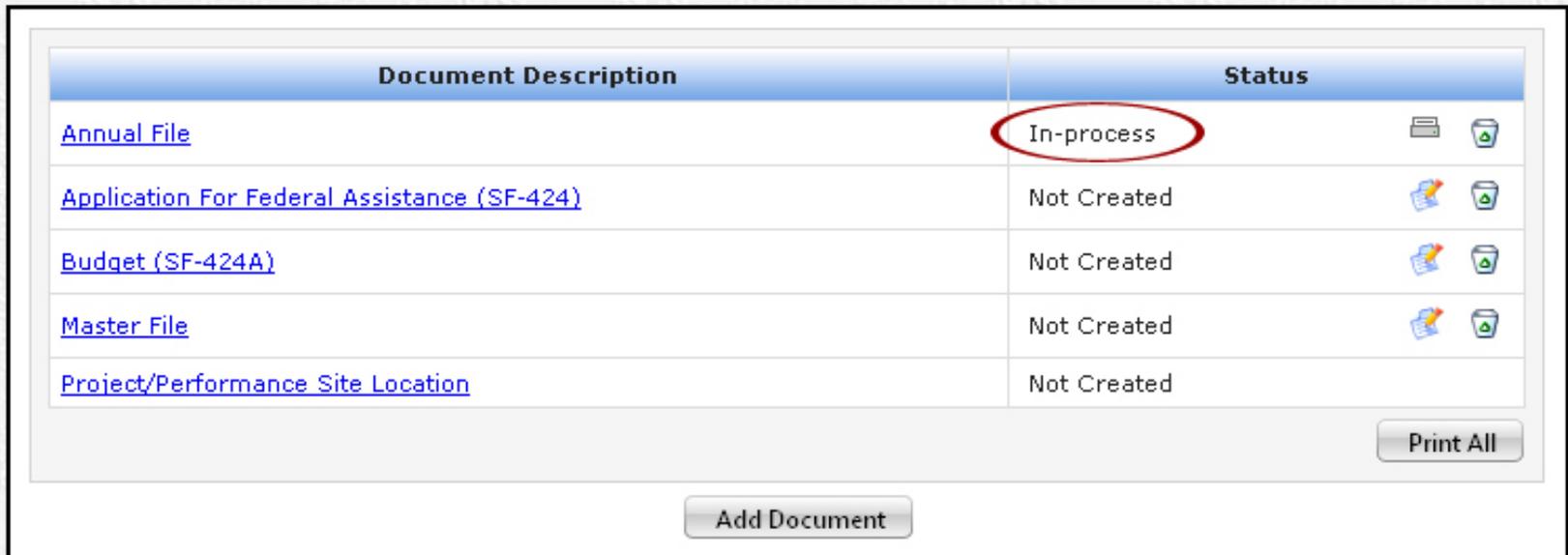
[Print All](#)

[Add Document](#)

6. Click on the Copy button when the warning message appears



7. Your document now displays as **In-Process**



A screenshot of a document list interface. The table has two columns: 'Document Description' and 'Status'. The 'Annual File' row has 'In-process' in the status column, which is circled in red. Other rows have 'Not Created' status. There are icons for each row. Below the table is a 'Print All' button and an 'Add Document' button.

Document Description	Status
<a href="#">Annual File</a>	In-process
<a href="#">Application For Federal Assistance (SF-424)</a>	Not Created
<a href="#">Budget (SF-424A)</a>	Not Created
<a href="#">Master File</a>	Not Created
<a href="#">Project/Performance Site Location</a>	Not Created

# SF-424

- 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 Reports
- Grant Administration
- Miscellaneous Grants
- Help Desk



## Application for Federal Assistance (SF-424)

### Import From PDF Document

Please select Federal Assistance (SF-424) File:

Year: 2013; Revision: 0; Status: In-process;



#### 1. Type of Submission:

Application

#### 2. Type of Application:

New

\*If Revision select appropriate letter

\*Other (specify)

#### 3. Date Received:

2/15/2013



#### 4. Applicant Identifier:

#### 5a. Fed Entity Identifier:

#### 5b. Federal Award Identifier:

DE-EE0000195

#### State Use Only:

#### 6. Date Received by State:

2/15/2013



#### 7. State Application Identifier:

#### 8. APPLICANT INFORMATION:

##### a. Legal Name:

##### b. Employer Tax Identification Number:

##### c. DUNS:

##### d. Address:

Street 1:

Street 2:

City:

State:

County:

Province:

Country:

Zip/Postal Code:



Verify this  
information is  
current

# Standard Form 424 (SF-424)

**e. Organizational Unit:**

Division Name:

Department Name:

**f. Name and contact information of person to be contacted on matters involving this application:**

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

Prefix:

First Name:

Middle Name:

Last Name:

Suffix:

Title:

Organization Affiliation:

Telephone Number:

Fax Number:

Email:



**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:**

Recovery Act - Weatherization Assistance Program Training Centers And Program

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc):**

Statewide

# Standard Form 424 (SF-424)

## 15. Descriptive Title of Applicant's Project:

Weatherization Assistance Program for Low Income Persons

## 16. Congressional Districts Of:

a. Applicant

b. Program/Project

State:

Congressional  
District:

## 17. Proposed Project:

a. Start Date

7/1/2013

b. End Date

6/30/2014

## 18. Estimated Funding (\$):

a. Federal

\$ 0.00

b. Applicant

\$ 0.00

c. State

\$ 0.00

d. Local

\$ 0.00

e. Other

\$ 0.00

f. Program Income

\$ 0.00

g. TOTAL

\$ 0.00

## 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  
3/22/2012
- 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

This date should  
reflect your  
approved Start date

Only new funds  
should be listed  
here

Verify compliance at  
[http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/)

# Standard Form 424 (SF-424)

Make sure this  
box has been  
checked

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

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

\*\*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:

First Name:

Middle Name:

Last Name:

Suffix:

Title:

Telephone Number:

Fax:

Email:

Verify this  
information is  
current

### \* Applicant Federal Debt Delinquency Explanation

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

### Project/Performance Site Location(s):

Name	Is Primary	DUNS Number	Date Created	Action
	<input checked="" type="checkbox"/>	878144757	01/28/2013	 

Add Performance Site Location



Attachments  
should be added  
here

**Attachments:**

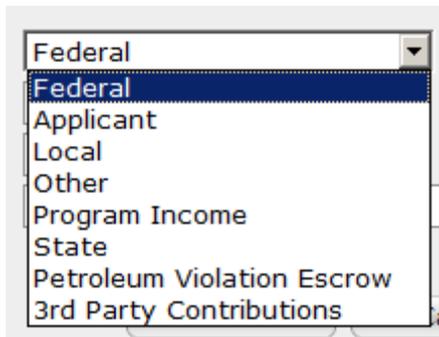
#	File Name	Date Created	Action
No records to display.			

**Attachments are required for the following sections:**

- Carryover explanation (Not applicable for 2013 Awards)
- Indirect Rate Agreement
- Org chart for the WAP Program
- PAC Meeting Minutes
- H&S Plan
- Public Hearing Notes and Transcript
- Recent A-133 Audit
- SF-LLL Disclosure of Lobbying Activities (if applicable)
- SF-424A budget for Subrecipient managing the program on behalf of the state (if applicable)
- Budget Justification for Subrecipient managing the program on behalf of the State (if applicable)

# Budget 424A

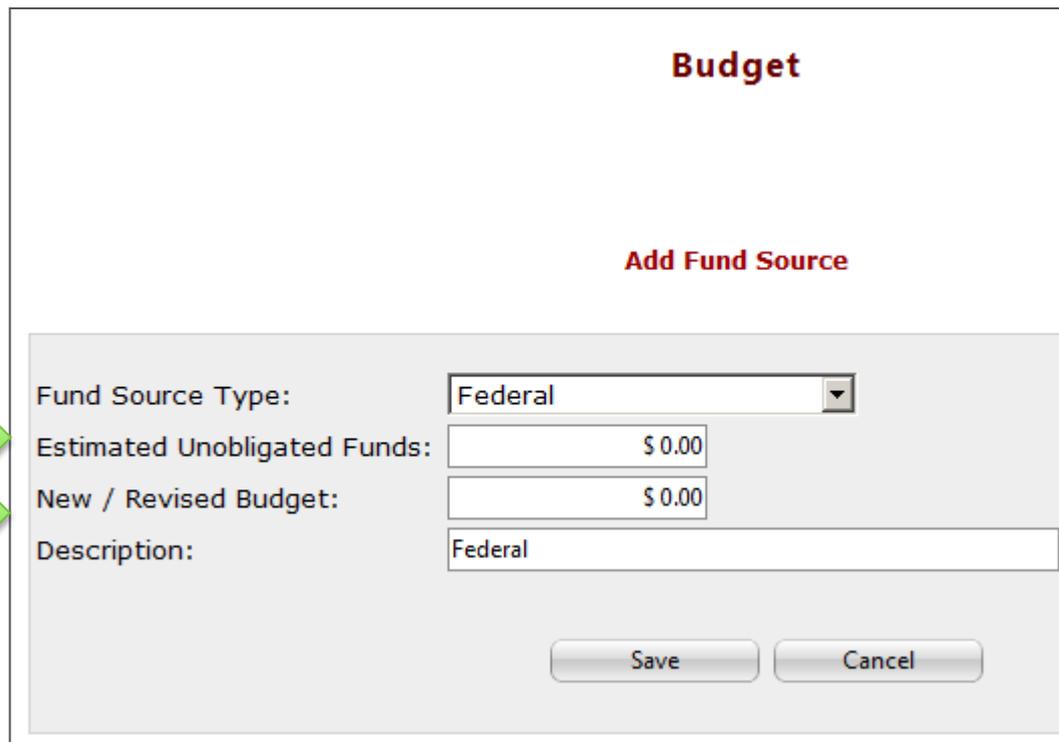
## Add all applicable funding sources from options listed



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

Carryover Funding Only (Not applicable  
for 2013 Applications)

2013 Funding Only



**Budget**

**Add Fund Source**

Fund Source Type: Federal

Estimated Unobligated Funds: \$ 0.00

New / Revised Budget: \$ 0.00

Description: Federal

Save Cancel

## Revise budget columns to reflect grant activity

### Select Budget Columns

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

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
Reporting Dashboards
Reports
Data Exports to Excel
Grant Administration
WAP Training Center
Weatherization Innovative Pilot
Miscellaneous Grants
Grant Monitoring
User Management
Help Desk

**Budget**

Please

Year: 2012; Revision: 0; State: IA

Program: Weatherization Assistance f  
State: IA  
Revision: 0

**Section A - Budget Summary**

Grant Program	Federal	Estimated Unobligated Funds	New/Revised Budgets	Total	Action
STATE		\$0.00	\$0.00	\$0.00	
Federal		\$8,594,994.25	\$0.00	\$8,594,994.25	
<b>Total</b>		<b>\$8,594,994.25</b>	<b>\$0.00</b>	<b>\$8,594,994.25</b>	

Add New Funding Source

To access the budget detail information (GOPF20A), click on the object class category name. For example, click on 'Personnel' in order to access the budget details associated with personnel.

No carryover should be included for 2013 awards

New funds should be listed here

Section A totals should match section B

**Section B - Budget Categories**

Edit Budget Columns

Object Class	GRANTEE ADMINISTRATION <a href="#">Edit</a>	SUBGRANTEE ADMINISTRATION <a href="#">Edit</a>	GRANTEE T&TA <a href="#">Edit</a>	PROGRAM OPERATIONS <a href="#">Edit</a>	HEALTH AND SAFETY <a href="#">Edit</a>	LIABILITY INSURANCE <a href="#">Edit</a>	Total
Personnel	\$123,386.63	\$0.00	\$372,243.50	\$0.00	\$0.00	\$0.00	\$495,630.13
Benefits	\$61,904.04	\$0.00	\$141,030.13	\$0.00	\$0.00	\$0.00	\$202,934.17
Travel	\$7,005.15	\$0.00	\$34,485.85	\$0.00	\$0.00	\$0.00	\$41,491.00
Equipment	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$1,850.00	\$0.00	\$2,400.00	\$0.00	\$0.00	\$0.00	\$4,250.00
Contract	\$6,000.00	\$395,170.00	\$177,000.00	\$5,665,006.40	\$1,416,251.60	\$40,000.00	\$7,699,428.00
Construction	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other	\$11,728.50	\$0.00	\$7,504.00	\$0.00	\$0.00	\$0.00	\$19,232.50
<b>Total</b>	<b>\$211,874.32</b>	<b>\$395,170.00</b>	<b>\$734,663.48</b>	<b>\$5,665,006.40</b>	<b>\$1,416,251.60</b>	<b>\$40,000.00</b>	<b>\$8,462,965.80</b>
Indirect	\$35,019.75	\$0.00	\$97,008.70	\$0.00	\$0.00	\$0.00	\$132,028.45
<b>Object Class Total</b>	<b>\$246,894.07</b>	<b>\$395,170.00</b>	<b>\$831,672.18</b>	<b>\$5,665,006.40</b>	<b>\$1,416,251.60</b>	<b>\$40,000.00</b>	<b>\$8,594,994.25</b>

Comments Edit

Section A totals should match section B

- Revise each row of the budget and include titles for each activity with the associated charges
- Section B totals should match the total on the right side of the chart

### Budget - Personnel

Effective FY2006, applicants may use any format that meets the budget narrative requirements of the grant guidance of funding opportunity notice.

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

Section B Total:  ← → Total:

Title/Group Category	Description of Duties	Method	Time/Percent	Rate/Salary	Total	Action
Program Manager	Administer the Weatherization Program	Percent	25.00			 
Program Monitor	Perform monitoring visits and training for the weatherization network	Percent	75.00			 
Program Manager - Monitoring	Manage the monitoring and training aactivities for the weatherizaion program	Percent	75.00			 
Program Manager	Administer the Weatherization Program	Percent	50.00			 
Program Coordinator	Perform program administrative duties, contract preparation; product report processing; financial report reconciliation; contract amendments, file maitenance	Percent	25.00			 

Add New Personnel

Back

## 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:

Total:

Title/Group Category	Description of Duties	Method	Time/Percent	Rate/Salary	Total	Action
Energy Specialist III	Long-range planning & evaluations; partnership development; program design; audits for quality and financial compliance	Percent	5.00			 

Grantees shall review and adjust staffing, description of responsibilities, salaries, hours or percentage proposed over the next budget period to assure sufficient and appropriate stewardship of the DOE funds. The listed costs are solely for employees of the Grantee.

**The fringe cost rates are approved by a Federal Agency.**

a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.

**The fringe cost rates are not approved by a Federal Agency.**

b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

Edit

# Budget- Fringe (cont.)

## Calculation of fringe benefits:

Section B Total:

Total:

Title/Group Category	Salary Base	Fringe Rate(%)	Amount
Energy Specialist III			
Energy Engineer II			
Manager, Policy & Planning			
Senior Auditor - Miscellaneous Professional			
Energy Engineer III			
DE Lawyer			
Accountant I			
Environmental Manager, Weatherization Program			
Energy Specialist IV			
Environmental Specialist III			
Executive II			
Management Analysis Specialist II			

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. If a fringe benefit rate has been negotiated with, or approved by, a federal government agency, a copy of the latest rate agreement must be included with this application. If there is not a current, federally approved rate agreement negotiated and available, provide a copy of the proposal with the application.

## 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:

Total:

Purpose of travel	Est. Num. of Trips	Est. Cost per Trip	Total	Action
In state travel days for quality assurance inspections, administrative and financial monitoring visits, on-site agency training, outreach support, and general oversight. Costs calculated based on a per-day average of \$146/day for per diems and hotels. Vehicles rental and mileage accounted for in Other category.				 
Out of State Travel: out-of-state travel calculated at 2,000 per weeklong trip for conferences, including airfare, hotels, per diem, and conference fees.				
Travel for GEO admin staff, including director, associate director of operations, controller, and accounting staff. Travel for conferences and presentations. Based on allocation among all GEO programs.				

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

- DOE expects Grantees to budget adequate funds to participate in national and regional conferences, as well as participation on related planning committees, task forces, and other scheduled and related meetings, and considers these meetings as high priorities.

## Budget - Equipment

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

Section B Total:

Total:

Equipment	Unit Cost	Num. Units	Total Cost	Justification	Action
Infrared Camera or other technical equipment				Will be purchased using statewide contract or state bidding process.	 

[Add New Equipment](#)

b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

[Edit](#)

- Vehicles and equipment means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

## Budget - Supplies

Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

Section B Total:

Total:

General Category	Cost	Justification of Need	Action
Various office supplies		Supplies used in the operation of the Weatherization Program administrative and technical tasks. Such as: file folders, forms, paper, calendars, report covers, film and processing, binders, CDs, pens, pencils, books, transparencies, envelopes, fasteners, technical publications and postage.	 
Equipment under \$5,000		Equipment that falls under the \$5,000 threshold. Such as cameras, adding machines, telephones, diagnostic equipment, computer equipment, etc. State contracts are utilized when available for purchases.	 

Add New Supply

b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Edit

## Budget - Contract

Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e weatherization subgrants, Annual File section II.3).

The basis of cost should include the “purpose” of the proposed contract

Section B Total:

Total:

Name of Proposed Sub	Total Cost	Basis of Cost	Action
Non PSD expenses (advertising, equipment maintenance, court reporter, etc.)	<input type="text"/>	Expenses such as equipment maintenance, advertising, court reporter, etc. These costs are determined by Office of Administration and/or through competitive procurement procedures.	 
Weatherization subgrantees		See Section II.3 on page 1 of the annual file. Local agency amounts are determined by the state allocation formula.	 

Add New Contract

The Grantee must provide and justify all costs related to contractors, vendors, and consultants. The Grantee must provide a separate Budget and Budget Justification for any subrecipient that will manage the Program on behalf of the Grantee and provide these documents as attachments to the SF-424 application in PAGE.

## Budget - Other Direct Costs

Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need

Section B Total:

Total:

General Description	Cost	Justification of Need	Action
Divisional or staff memberships	<input type="text"/>	i.e. NASCSP, NASEO, professional organizations	 

[Add New Other Direct Cost](#)

b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

[Edit](#)

## Budget - Indirect Costs

Indirect costs are approved by a Federal Agency.

a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.

Edit

Indirect costs are not approved by a Federal Agency.

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

Provide the name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name:

Phone Number:

Save

**List the indirect accounts, direct amounts, and indirect rates.**

Section B Total:

Total:

Indirect Cost Account	Direct amount	Indirect Rate	Total Indirect Cost	Action
Admin: Personnel, Fringe, Travel, Supplies, Contractual, Other	<input type="text"/>			 
T&TA: Personnel, Fringe, Travel, Supplies, Contractual, Other				 

Add New Indirect Costs

Complete this section if applicable

- These two numbers should always match for each budget category

## Budget - Other Direct Costs

Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need

Section B Total: \$70,100.00

Total: \$70,100.00

General Description	Cost	Justification of Need	Action
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# Annual File

## Changes to this section include:

- “Training, Technical Assistance, and Monitoring Activities” has been removed from the Annual File. These sections will be found only in the Master File now.
- “Adjustments to On-File Information” has been removed. A Master File will be required annually.

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0000195, State: MO, Program Year: 2013)

**IV.1 Subgrantees**

Subgrantee (City)	Planned Funds/Units
01-Community Services, Incorporated of Northwest Mo. (Maryville)	
02-Delta Area Economic Opportunity Corporation (Portageville)	
03-East Missouri Action Agency (Park Hills)	
04-Community Action Partnership of St. Joseph (St. Joseph)	
05-Economic Security Corporation of Southwest Mo. (Joplin)	
06-Green Hills Community Action Agency (Trenton)	
07-Central Missouri Community Action (Columbia)	
08-Urban League of Metropolitan St. Louis (St. Louis)	
09-Jefferson-Franklin Community Action Corporation (Hillsboro)	
10-Kansas City Housing & Community Development Department (Kansas City)	
11-Community Action Agency of St. Louis County (St. Louis)	
12-Missouri Ozarks Community Action, Inc. (Richland)	
13-Missouri Valley Community Action Agency (Marshall)	
14-North East Community Action Corporation (Bowling Green)	
15-Northeast Missouri Community Action Agency (Kirksville)	
16-Ozark Action, Inc. (West Plains)	
17-Ozarks Area Community Action Corporation (Springfield)	
18-South Central Missouri Community Action Agency (Winona)	
19-West Central Missouri Community Action Agency (Appleton City)	
<b>Total:</b>	

Clicking the subgrantee link will allow for verification that subgrantee information is complete

[06-Green Hills Community Action Agency](#)

**Tentative**

Dollar Amount:

Units:

**Labor Source**

- Agency crews
- Contractors
- Both

Complete this section in its entirety

County Served	Action
CALDWELL County	
DAVISS County	
GRUNDY County	
HARRISON County	
LINN County	
LIVINGSTON County	
MERCER County	
PUTNAM County	
SULLIVAN County	

Add New Record

Congressional District served	Action
Missouri Congressional District 06	
Missouri Congressional District 06	

Add New Record

## IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	1,379
Rewatherized Units	30

Note: Planned units by quarter or category are no longer required, no information required for persons.

Verify this information is correct

### Average Unit Costs, Units subject to DOE Project Rules

VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	1,379
C	Total Units Rewatherized	30
D	Total Dwelling Units to be Weatherized and Rewatherized (B + C)	1,409
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$5,642,121.00
G	Total Dwelling Units to be Weatherized and Rewatherized (from line D)	1,409
H	Average Program Operations Costs per Unit (F divided by G)	\$4,004.34
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$4,004.34

Should be less than the allowable average \$6,904

## IV.3 Energy Savings

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

Method used to calculate savings description

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

The Missouri Department of Natural Resources Division of Energy (MDNR/DE) estimates that, for the Program Year 2012/2013 funding, a total of 1,409 homes will be weatherized. For these homes, it is estimated that 37,401 mmBtu/year of energy will be saved.

Method for calculating energy savings is as follows:

This year estimated energy savings (MBtus):

Prior year estimated energy savings (MBtus):  Actual:

30.5 MBTU

Update these numbers based on calculation method

## IV.4 DOE-Funded Leveraging Activities

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

Federal regulations allow weatherization funds to be used for leveraging activities. Under leveraging, subgrantees work at developing relationships with property owners, utility companies and other entities that generate non-federal resources for the program. Examples of some of the leveraging partnerships are donations from some local/national hardware and lumber stores, local realtors, etc. All...

## 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
	 
	 
	 
	 
	 
	 
	 
	 
	 
<input type="button" value="Add New Record"/>	

- **The PAC section should comply with 10 CFR 440.17 (a) (2&3)**

## 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

## IV.7 Miscellaneous

### § 440.14 State plans.

(a) Before submitting to DOE an application, a Grantee must provide at least 10 days notice of a hearing to inform prospective subgrantees, and must conduct one or more public hearings to receive comments on a proposed plan. The notice for the hearing must specify that copies of the plan are available and state how the public may obtain them. The Grantee should prepare a transcript of the hearings and accept written submission of views and data for the record.

- The Miscellaneous section is available for Grantees to use as deemed appropriate for any activities that are not routinely administered as part of the Weatherization Assistance Program or there is no other section of the Annual File specifically noted to describe the activities.

# Master File

## Changes to this section include:

- Section headings were revised and correspond to the WAP Application Instructions.
- Within the Energy Audit Procedure section V.5.2, “Mobile Homes” has been replaced with “Manufactured Housing”.
- Former Section Heading “III.5 Rental Procedures” has been removed and that information will now be found in section “V.1.2 Approach to Determining Building Eligibility”.

## 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...](#)

Define the 200% of poverty level, how many months income are needed to create an annualized income equivalent for comparison to the Poverty Income Guidelines, etc.

Describe what household Eligibility basis will be used in the Program

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

Define which eligibility basis the Grantee is using: DOE (200% poverty level), LIHEAP(60% of median income), etc.

Describe the process for ensuring qualified aliens are eligible for weatherization benefits

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

Grantees are directed to review guidance provided by Health and Human Services (HHS) under the Low Income Home Energy Assistance Program (LIHEAP). The Grantee should reference any policies or procedures in place to ensure DOE weatherization services shall only be provided to eligible populations.

## V.1.2 Approach to Determining Building Eligibility

Procedures to  
determine that units  
weatherized have  
eligibility  
documentation

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

Refer to Section V.1.2 of the Application Instructions which addresses Eligible Structures.

Describe Reweathering compliance

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

The Recovery Act amended the DOE Weatherization Reweathering dates and now allows Grantees and Subgrantees to weatherize homes previously weatherized from September 30, 1994, and earlier.

## Describe what structures are eligible for weatherization

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

Grantees should exercise caution in dealing with non-traditional type dwelling units such as shelters, apartments over businesses, etc. to ensure they meet Program regulations on whether the unit is, in fact, eligible.

## Describe how Rental Units/Multifamily Buildings will be addressed

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

Grantees shall include in this section an explanation for how they will ensure that the benefits of weatherization to occupants of rental units are protected in accordance with §440.22(b)(3). Applicants are requested by the U.S. Department of Energy to satisfy this requirement by keeping on file rental plans or procedures that address protection of renters' rights as specified in §440.22(b)(3) and §440.22(c)-(e).

## Describe the deferral Process

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

While clients may meet the eligibility requirements, it is important for Grantees to have clear and concise directions for the Subgrantees as to when a building should be deferred because the building is not a good candidate for weatherization.

## 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...](#)

Grantees shall include a statement, in accordance with 10 CFR 440.16(f), that low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state unless the applicant has made the recommendation provided in 10 CFR 440.12(b)(5).

## V.2 Selection of Areas to Be Served

Grantees shall provide, per 10 CFR 440.14(c)(6)(ii), an explanation of the method used to select each area to be served by a weatherization project.

## V.3 Priorities for Service Delivery

Grantees shall describe any priorities given to certain portions of the eligible population in receiving weatherization assistance. Specifically, as required by 10 CFR 440.16(b), briefly describe procedures Grantees and Subgrantees use to maximize program effectiveness.

## V.4 Climatic Conditions

Grantees should describe the climatic conditions within the state, including a map or table showing the heating degree days and cooling degree days in each area.

## V.5 Type of Weatherization Work to Be Done

### V.5.1 Technical Guides and Materials

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

Grantees should provide title and issue date for the documents used by Grantee and the Subgrantees to determine work to be done. These documents may include field guides, program updates, procedures manuals, standards documents, etc. Grantee must also declare all work is being performed in accordance to the DOE-approved energy audit procedures and 10 CFR 440 Appendix A.

### V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family

Manufactured  
Housing

Multi-Family

In accordance with 10 CFR 440.21 (h), all Grantees must resubmit their audit procedures (and priority list(s), if applicable) to DOE for approval every five years. DOE requires energy audit procedures to be approved specifically for use on single-family dwellings and manufactured homes.

Save

Should include  
dates and the  
type of the  
energy audit  
approved

## Multi-Family Protocols

Where multifamily dwelling units represent more than 20% of a Grantee's building type, DOE requires the Grantee to submit multifamily audit procedures. For Grantees that fall below the 20% threshold and do not have a DOE-approved audit and procedures for multifamily buildings, a Grantee must take two actions:

- *Describe in the State Plan the approach that will be taken to ensure that the eligible occupants of multifamily dwellings receive appropriate, cost-effective weatherization services.*
- *Submit to the Project Officer the necessary material to approve the multifamily project prior to commencing weatherizing the building (e.g. engineering assessment, audit input/output). The Project Officer will review and approve the project(s) on a case-by-case basis in the absence of a multifamily energy audit.*

If a Grantee has a multi-protocol approved, the Grantee should provide the date of last approval. If the Grantee does not have a multi-protocol approved, please estimate in the comment box what % of the units the Grantee weatherizes are multifamily, what approach the Grantee will take to ensure this housing stock is served, and verify the Grantee understanding of process to be followed to have projects approved on a case-by-case basis.

## V.5.3 Final Inspection

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

Applicants shall describe their procedures to ensure that no dwelling unit is reported to DOE as completed until all weatherization measures have been installed and the Subgrantee, or its authorized representative, has performed a final inspection(s) including any mechanical work performed and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures required by 10 CFR 440.21.

## V.6 Weatherization Analysis of Effectiveness

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

An analysis shall be provided, per 10 CFR 440.14(c)(6)(i), of the existence and effectiveness of any weatherization project being carried out by the Subgrantee(s). This analysis may include analyses that are done on an annual basis but may also include special analyses that are conducted based on current events.

## V.7 Health and Safety

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

### III.4 Health and Safety

Link to H&S Reference Materials:

<http://waptac.org/WAP-Standardized-Curricula/Health-0024amp;-Safety-Training-for-Programmatic-Staff.aspx>

## Health & Safety Training for Programmatic Staff

[Back to WAP Standardized Curricula](#)

### Topics

1. [WAP Health and Safety](#)

Presentation: WAP Health and Safety (PowerPoint, PDF)

Speaker Notes: WAP Health and Safety (Word, PDF)

Lesson Plan: WAP Health and Safety (Word, PDF)

[WXtv: 12 Steps to Lead Safety](#)

### Webinar:

This webinar is a 2-part presentation on the Health and Safety practices associated with the guidelines set forth in the [WPN 11-6](#). An overview of WPN 11-6 is discussed along with organizations implementing a plan, budgets and limits, incidentals and associated repairs, and identifying measures and hazards. The training is provided by Ryan J. Middleton, T&TA Liaison, Weatherization Assistance Program, Weatherization and Intergovernmental Program, Department of Energy (DOE); and Kelly Cutchin, Weatherization Trainer, Simonson Management Services (SMS).

[Video 1](#): Running time 19:57

[Video 2](#): Running time 43:25

### Resources

[Health and Safety Plan Template](#)

[Defferal of Service Notification](#)

[EPA Steps for Lead Safe Weatherization](#)

**The H&S Plan can also be added as an attachment to the SF-424**

- Grantees must set health and safety expenditure limits for their Subgrantees, providing justification by explaining the basis for setting these limits and providing related historical experience.
- These limits must be expressed as a percentage of the average cost per dwelling unit (ACPU). These funds are to be expended by Subgrantees in direct weatherization activities.
- Up to 15% of the Annual Federal Formula Allocation can be used for mitigating health and safety concerns directly related to the weatherization of a building (without secondary level of review).
- Should a Grantee request to have 15% or more of their grant used for health and safety purposes, DOE will conduct a secondary level of review and may request additional information to justify the higher percentage.

## **V.8 Program Management**

### **V.8.1 Overview and Organization**

Applicants shall provide a description of the organization that operates the Weatherization Program.

### **V.8.2 Administrative Expenditure Limits**

As 10 CFR 440.18(d) explains, not more than 10% of any grant made to a state may be used by the Grantee and Subgrantees for administrative purposes -- not more than 5% may be used by the state, and not less than 5% must be made available to Subgrantees by the state. However, a state may provide up to an additional 5% to Subgrantees receiving grants of less than \$350,000 of new DOE money.

### **V.8.3 Monitoring Activities**

Grantees shall follow WPN 12-5 for guidance when completing the monitoring section. This section must be specific to the current program year monitoring activities.

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

Grantees shall indicate the methods used to provide training and technical assistance to Subgrantees, and the methods employed to ensure quality of work and adequate financial management control at the Subgrantee level.

## **V.9 Energy Crisis and Disaster Plan**

Grantees are encouraged to include energy crisis and disaster plans that have been developed within their State.

**All forms required for Grantee reporting are located in PAGE as follows:**

***Quarterly Reporting:***

- Federal Financial Status Report Standard Form 425
- Performance Report (QPR)

***Annual Reporting:***

- Historic Preservation

***Annual Reporting:***

- Training & Technical Assistance Activities
- Monitoring Activities
- Leveraging Updates

## I've Submitted My Application, Now What?

- A new approach will be used in 2013 to streamline negotiations and provide timely awards.
- Upon receipt and initial review of the Application, DOE will schedule a conference call with each Grantee, which will be preceded by an agenda outlining areas that need further clarification. This will provide the Grantee with an opportunity to research the areas and arrange to have the appropriate personnel available for the call.
- This team approach is an effort to address critical areas early in the application process to minimize barriers in the review cycle.
- At the conclusion of the call, specific timelines will be established for any items that need further input.

- After the remaining items are resolved, the award package will be prepared and sent through an internal DOE review process.
- It will then be submitted to the Contracting Officer for final review and approval.
- Upon approval of award, you will receive notification via FedConnect
  - The FedConnect notification is the only official approval of the award containing all applicable award documents.
  - Grantee shall review and acknowledge all awards /modifications in FedConnect.
- Grantee will also receive notification via PAGE
  - It is important to note that the PAGE notification is not the official approval of the award and it is therefore incumbent upon the Grantee to verify that approval has been received via FedConnect.



**QUESTIONS?**