

U.S. Department of Energy

Weatherization Assistance Program for Low-Income Persons

GRANTEE APPLICATION INSTRUCTIONS

U.S. Department of Energy
Office of State and Community Energy Programs
1000 Independence Avenue, SW
Washington, DC 20585

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Table of Contents

[Reference Page](#)
[List of Acronyms](#)

I. OVERVIEW

I.1 [Introduction](#)

II. APPLICATION FOR FEDERAL ASSISTANCE - STANDARD FORM 424

III. BUDGET

III.1 [SF-424A Budget Preparation](#)

III.2 [Budget Categories - Section B](#)

III.3 [Budget Justification](#)

III.4 [Carryover Explanation](#)

III.5 [Reprogramming Training and Technical Assistance Funds](#)

IV. ANNUAL FILE

IV.1 [Subgrantees](#)

IV.2 [WAP Production Schedule](#)

IV.3 [Energy Savings](#)

IV.4 [DOE-Funded Leveraging Activities](#)

IV.5 [Policy Advisory Council Members](#)

IV.6 [State Plan Hearings](#)

IV.7 [Miscellaneous](#)

V. MASTER FILE

V.1 [Eligibility](#)

[V.1.1 Approach to Determining Client Eligibility](#)

[V.1.2 Approach to Determining Building Eligibility](#)

[V.1.3 Definition of Children](#)

[V.1.4 Approach to Tribal Organizations](#)

V.2 [Selection of Areas to be Served](#)

V.3 [Prioritizing Clients](#)

V.4 [Climatic Conditions](#)

V.5 [Type of Weatherization Work to be Done](#)

[V.5.1 Technical Guides and Materials](#)

[V.5.2 Energy Audit Procedures](#)

[V.5.3 Final Inspection](#)

V.6 [Weatherization Analysis of Effectiveness](#)

V.7 [Health and Safety](#)

V.8 [Program Management](#)

[V.8.1 Overview and Organization](#)

[V.8.2 Administrative Expenditure Limits](#)

[V.8.3 Monitoring Activities](#)

[V.8.4 T&TA Approach and Activities](#)

V.9 [Energy Crisis and Disaster Plan](#)

V.10 [Dispute Resolution Process](#)

V.11 [Investigating Allegations of Fraud, Waste and Abuse](#)

Reference Page

Enabling Legislation

Federal Regulations

- [Weatherization Assistance Program for Low Income Persons - 10 Code of Federal Regulations \(C.F.R.\) 440](#)
- [10 C.F.R. § 440: Appendix A to Part 440](#)
- [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards – 2 C.F.R. § 200](#)
- [Post Federal Award Requirements – 2 C.F.R. § 200 Subpart D](#)
- [Cost Principles – 2 C.F.R. § 200 Subpart E](#)
- [Audit Requirements – 2 C.F.R. § 200 Subpart F](#)
- [DOE Implementing Order - 10 C.F.R. § 1005](#)
- [DOE Federal Assistance Reporting](#)
- [Executive Order 12372 - Intergovernmental Review of Federal Programs](#)
- [National Environmental Policy Act Implementing Procedures – 10 C.F.R. § 1021](#)
- [Build America, Buy America](#)
- [Department of the Interior and Related Agencies Appropriations Bill. 1985 – House Report 98-886](#)
- [Federal Register Notice, 45 Fed. Reg. 13028, 13031, Feb. 27, 1980](#)
- [Social Security Act, Pub.L. No. 88-452, 42 U.S.C. Ch. 7](#)
- [State Energy Efficiency Program Improvement Act of 1990 \(SEEPIA\) Public Law 101-440](#)

Program Guidance

- [Weatherization Program Notices and Memorandums](#)

Application Forms

- Administrative and Legal Requirements Document (ALRD)
- Performance and Accountability for Grants in Energy ([PAGE](#))
 - Standard Form 424 (SF-424) – Instructions
 - Standard Form 424A (SF-424A) – Budget Information
 - Standard Form LLL (SF-LLL) Disclosure of Lobbying Activities (if applicable)
 - Semi-Annual Reporting:
 - Standard Form 425 – Federal Financial Status Report
 - Performance Report
 - Annual Reporting:
 - Leveraging Updates
 - Weatherization Readiness Fund
 - Historic Preservation Report

List of Acronyms

ACPU – Average Cost per Dwelling Unit	NEPA – National Environmental Policy Act
ALRD – Administrative and Legal Requirements Document	MF – Multifamily
AMI – Average Median Income	OMB – Office of Management and Budget
ASAP – Automated Standard Application for Payment System	OSHA – Occupational Safety and Health Administration
BABA – Build America Buy America	PA – Programmatic Agreement
BPI – Building Performance Institute	PAC – Policy Advisory Council
BPA – Building Performance Association	PAGE – Performance and Accountability for Grants in Energy
CAA – Community Action Agency	PO – Project Officer
C.F.R. – Code of Federal Regulations	POI – Pollution Occurrence Insurance
DOE – U.S. Department of Energy	PTE – Pass-through Entity
ECM – Energy Conservation Measure	PVE – Petroleum Violation Escrow
EPA – U.S. Environmental Protection Agency	PY – Program Year
EOW – Energy OutWest	QCI – Quality Control Inspector
FAO – Financial Assistance Office	SAM – System for Awards Management
GAO – General Accounting Office	SAR – Semi-Annual Report
GMS – DOE Grants Management Specialist	SCEP – Office of State and Community Energy Programs
GO – Grants Officer	SEEPIA – State Energy Efficiency Program Improvement Act of 1990
H&S – Health & Safety	SF – Standard Form
HHS – U.S. Department of Health and Human Services	SIR – Savings-to-Investment Ratio
HUD – U.S. Department of Housing and Urban Development	SWS – Standard Work Specifications
ICR – Information Collection Request	T&TA – Training and Technical Assistance
IG – Inspector General	TNA – Training Needs Assessment
IIJA – Infrastructure Investment and Jobs Act	UEI – Unique Entity Identifier
IRM – Incidental Repair Measure	U.S.C. – United States Code
LIHEAP – Low Income Home Energy Assistance Program	WAP – Weatherization Assistance Program
NASCSP – National Association for State Community Services Programs	WPN – Weatherization Program Notice
NCAP – National Community Action Partnership	WRF – Weatherization Readiness Fund

I. OVERVIEW

I.1 Introduction

The Application Instructions are for all 50 states, the District of Columbia, United States (U.S.) Territories, Indian Tribes, and local applicants to apply for direct grants under the Weatherization Assistance Program (WAP), administered by the U.S. Department of Energy's (DOE's) Office of State and Community Energy Programs (SCEP) under DOE's Office of Critical Minerals and Energy Innovation (CMEI). Grantees must comply with applicable law including regulations contained in [10 Code of Federal Regulations \(C.F.R.\) § 440](#) and [2 C.F.R. § 200](#) and other procedures applicable to these regulations that DOE may prescribe for the administration of financial assistance.

Any potential discrepancies between information contained in this document and [2 C.F.R. § 200](#) regulations will be resolved in favor of [2 C.F.R. § 200](#).

In the development, submission, and review of grant applications, the provisions of [Executive Order 12372](#) (Intergovernmental Review of Federal Programs), amended by Executive Order 12416, and the DOE Implementing Order ([10 C.F.R. § 1005](#)) remain unchanged.

DOE requires Grantees to hold a formal public hearing on the Grantee Plan Application per [10 C.F.R. § 440.14\(a\)](#). DOE also requires Grantees to hold a meeting with their Policy Advisory Council (PAC) regarding the development of the Grantee Plan per [10 C.F.R. § 440.17](#). In addition, DOE suggests Grantees meet with their current Subgrantees and stakeholders at the beginning of the planning process and regularly consult with their current Subgrantees and stakeholders throughout each Program Year (PY) to improve WAP and the annual Grantee Plan.

Applications **must be** submitted through the **Performance and Accountability for Grants in Energy (PAGE)** online system.

For questions regarding the Application Instructions in PAGE, please refer to the Help Menu or contact the PAGE hotline at PAGEHotline@ee.doe.gov.

II. APPLICATION FOR FEDERAL ASSISTANCE - STANDARD FORM 424

A completed and signed Standard Form 424 (SF-424) is required from each Grantee when applying for new Federal funding or when modifying the performance period start and/or end dates of the grant under WAP.

The SF-424 is not required for budget or scope modifications that do not change the overall budget. For help completing this form, please review the [SF-424 instructions](#) for more information or reach out to the assigned Project Officer (PO).

Table 1: State Plan Application Documentation to Enter or Attach to the SF-424		
Name of Document	Format	Recommended File Name
Mandatory Sections		
SF-424 Application for Federal Assistance	PAGE	N/A
SF-424A Budget Information for Non-Construction Programs	PAGE	N/A
Budget Justification	PAGE	N/A
Annual File	PAGE	N/A
Required Attachments to the Application Package in PAGE (SF-424)		
Health and Safety Plan (H&S) (if not already included in the Master File)	Attachment	H&S Plan
Training & Technical Assistance (T&TA) Plan (if not already included in the Master File)	Attachment	T&TA Plan
Quality Control Inspection/ Technical Monitoring Form (QCI TMF)	Attachment	QCI_TMF
Financial/Programmatic Monitoring Tool	Attachment	Financial Programmatic Monitoring Tool
Quality Control Inspector (QCI) Technical Monitor(s) Certification Form(s) or documentation for how this requirement is met	Attachment	QCI Certifications
Public Hearing Transcript(s)	Attachment	Public Hearing Transcript
Public Hearing Notice(s) Demonstrating Minimum Ten Days' Notice	Attachment	Public Hearing Notice(s)
PAC Activity Documentation	Attachment	PAC Activity Documentation
A copy of the Deferral Policy	Attachment	Deferral Policy
Dispute Resolution Process	Attachment	Dispute Resolution Process
Indirect Rate Agreement (if applicable)	Attachment	Indirect Rate Agreement
Explanation of Indirect Costs (if applicable)	Attachment	Indirect Cost Explanation
Process for Investigating Waste, Fraud, and Abuse	Attachment	Investigating Waste, Fraud, and Abuse
Cost Allocation Plan (if applicable)	Attachment	Cost Allocation Plan
2 C.F.R. § 200 Subpart F, Single Audit	Attachment (or provide a link in the narrative comment section of the budget)	Single Audit
Standard Form LLL (SF-LLL) Disclosure of Lobbying Activities (if applicable)	Attachment	SF-LLL
Other Optional Attachments, as applicable		
WAP Organizational Chart(s)	Attachment	WAP Org Chart
Corrective Action/Removal Procedures	Attachment	Corrective Action Removal

		Procedures
Reprogramming of T&TA Funds	Attachment	Reprogramming T&TA Funds
Master File	PAGE	N/A

DOE reserves the right to request additional or clarifying information.

INSTRUCTIONS TO ATTACH FILES:

Grantees must not include tables or spreadsheets within the Annual and Master Files or in the comments section of the SF-424A Budget. All supporting documentation must be attached to the SF-424. PDF is recommended in most instances. To attach a document, go to the attachments section at the bottom of the SF-424 and click on the **Browse** button. Find the file to upload and click the **Open** button. Click the **Upload** button to attach the file to the application. When the upload process is completed, click **Save**.

III. BUDGET

SF-424A and the Budget Justification work together to provide a clear understanding of how the Grantee proposes to use funds following DOE rules and regulations. Figure 1 depicts the relationship between the sections of the SF-424A and how that information flows into the Budget Justification.

SF-424A Sections

Section A: List all funding sources
Budget Summary (new and other funding sources by line item).



Section B: Budget Categories
Breakdown of Section A by required categories, providing a column for each budgeted component.



Separate Budget Justification
Further details break down the Budget Categories of 424A Section B to outline how the categorical funds are broken down by object class (e.g., Personnel, Travel, etc.).

Figure 1: Relationship between sections of the SF-424A

III.1 SF-424A Budget Preparation

Prepare the SF-424A budget using the total amount of new funding allocations and other funding sources for the current budget period. Complete the SF-424A **in whole dollars**. The SF-424A budget can be found in PAGE after beginning a Grant Application Package.

The proposed budget category costs are estimated values; the Grantee must invoice for actual costs incurred for each of the cost categories. The Grantee may request funds under any of the Object Class Categories if the item and amount are reasonable and necessary to perform the proposed work and allocable to the Federal award in accordance with the relative benefits received. Federal payments to a Grantee's "contingency reserve" are unallowable. Other contingency costs may be allowable with certain restrictions; see [2 C.F.R. § 200.433](#) "Contingency Provisions."

III.2 Budget Categories – Section B

SF-424A - Section B: Budget Categories

The budget columns are organized by mandatory and optional categories.

Mandatory Budget Categories:

- Grantee Administration
- Subgrantee Administration (not applicable to Direct Service Grantees)
- Grantee T&TA
- Subgrantee T&TA (not applicable to Direct Service Grantees)
- Program Operations
- Weatherization Readiness Fund (WRF)

Optional Budget Categories:

- Vehicles and Equipment
- Liability Insurance
- Leveraging
- Health & Safety (H&S)
- Financial Audit
- Energy Crisis
- Energy Audit
- Client Eligibility/Intake
- Final Inspection
- Special Projects I-V

The “Total” of Section A-Budget Summary must equal the “Total” of Section B-Budget Categories to be compliant.

Object classes (first column of Section B-Budget Categories) include Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contract, Other Direct Costs, and Indirect Costs. Construction is not applicable to WAP.

For object classes that relate solely to Subgrantee expenditures, the total estimated cost must be reflected in the Contract *Object Class* category.

A detailed justification and explanation for Grantee administration must be included in accordance with [10 C.F.R. § 440.12\(b\)\(3\)](#). All amounts categorized as 'Other Direct Costs' must be supported with a detailed listing of items, costs, and justification for the cost.

Grantees are required to stay within the various budget category thresholds each year.

Administrative Categories

The Consolidated Appropriations Act of 2021 ([Subsec\(a\)\(1\). Pub. L. 116–260, § 1011\(g\) – Dec. 27, 2020](#)) substituted "15 percent" for "10 percent" in the administrative budget limitations thus allowing the DOE to update the existing Grantee Administrative limitation to “Not more than 15 percent of any grant made to a State may be used by the Grantee and Subgrantees for administrative purposes in carrying out duties under this part, except that not more than 7.5 percent may be used by the State for such purposes, and not less than 7.5 percent must be made available to Subgrantees by States. A State may allow recipients of grants of less than \$350,000 to use up to an additional 5 percent of such grants for administration.”

Grantees must only use new PY total allocation funds in determining the administrative allowances. This includes administration based on weatherization formula base funds and WRF.

Grantee Administration:

- The total charged to Administration can be no more than 7.5% of total new PY funds awarded:
 - Multiply the **(new PY total allocation + WRF) x 7.5% (or less)** to determine Grantee Administrative budget total.
- Cost allocation between this category and Grantee T&TA must be in accordance with [2 C.F.R. § 200](#) and [10 C.F.R. § 440.23 “Oversight, training, and technical assistance.”](#)

Subgrantee Administration:

- Subgrantee Administration must be at least 7.5% of the total new funds awarded.
 - Multiply the **(new PY total allocation + WRF) x 7.5%** to determine Subgrantee Administrative budget total.
- Grantees may allow Subgrantees **who receive less than \$350,000 of new DOE appropriated funds**, to use **up to an additional 5%** of their subawards for administration. This additional funding can be approved only to implement the administrative requirements of the Program.
 - Grantees will develop criteria to be used to determine when eligible Subgrantees may use **up to an additional 5%** of their subawards for administrative purposes.
 - The total effect of the Grantee allowing the Subgrantee to utilize an additional 5% of their award for Administration costs may result in the Grantee exceeding a total of 15% in the total administrative cost categories for the award, and this is allowable in such instances.

Tribes do not have the same limitation as States and Territories and are eligible for both the Grantee and Subgrantee portion of administrative funds.

All expenditure must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles. The cost principles contained in [2 C.F.R. § 200, Subpart E](#) apply to all entities other than for-profits.

Grantee T&TA and Subgrantee T&TA

The maximum amount available for Grantee and Subgrantee T&TA is included with the annual WPN 26-2 PY 2026 Grantee Allocations.

Allowable expenditures include:

- Costs incurred for T&TA for any Grantee or Subgrantee including monitoring and QCI training.
- Providing information concerning energy savings practices to occupants of eligible dwelling units (client education).
- Evaluation of Program outcomes.
- Participation, travel, logistics of training, and technical assistance activities and events.
- Grantee purchases of vehicles or equipment, which are **directly related** to specific T&TA activities, such as monitoring, etc.

- T&TA funds must **not** be used to purchase vehicles or equipment for Subgrantees to perform weatherization services. The cost of these Subgrantee vehicles or equipment to support the Program must be charged to the Vehicle/Equipment or Program Operations categories.

Program Operations

Per [10 C.F.R. § 440.18](#), costs incurred for Program Operations are generally defined as the direct costs necessary to implement the weatherization of an eligible dwelling unit. This includes both the costs of weatherization materials, and the direct expenses related to the deployment of those materials, such as labor, transportation, and on-site supervision. While some of these categories could be charged as allowable Administrative or T&TA costs—depending on the nature of the expense—they are almost always part of the Average Cost Per Unit (ACPU) calculation. Where there are costs that could be charged to other Budget Categories, it is the determination of the Grantee which category is used.

Program Operations costs may include, but are not limited, to the following:

- Materials listed in [10 C.F.R. § 440: Appendix A to Part 440](#) or DOE-approved energy audit protocol.
- Materials purchased for incidental repair measures as defined in [10 C.F.R. § 440.3](#).
- Materials purchased for health and safety improvements.*
- Transportation of weatherization materials, tools, equipment, and work crews to a storage site and to the site of weatherization work.**
- Maintenance, operation, and insurance of vehicles used to transport weatherization materials.**
- Maintenance of tools and equipment.**
- Purchase or annual lease of tools, equipment, and vehicles.**
- Building permit fees from local governments.***
- Employment of personnel directly related to the operation of the Program.***
 - This category is defined for general consistency purposes as weatherization coordinators' salary and fringe benefits expenditures for actual supervision of labor, client intake, recordkeeping, etc.
- Storage of weatherization materials, tools, equipment, and weatherization vehicles.
- Space rental. As with vehicles and equipment, neither Grantees nor Subgrantees may pre-pay leases that exceed the end of the grant period.
- Utility costs at storage facilities only (e.g., heat, lights, and water).
- Retrofitting storage facility***.
- Labor expenditures, which are limited to those defined in [10 C.F.R. § 440.19](#).
 - Payments to employ labor or engage contractors, including:
 - Payments to subcontractors.
 - Salaries and fringe benefits of crew members.

- Salaries and fringe benefits of crew leaders.
- Labor expenditures also include auditors/assessors, QCIs, field supervisors who are not installing materials, and warehouse personnel, such as inventory clerks who are engaged in handling materials. Please note, auditor/assessor and QCI staff costs can be moved to the Optional Budget Categories of Energy Audit and Final Inspection.
- Because T&TA funds are limited, Grantees and Subgrantees may charge the cost of training to the T&TA category and the employee's time for participation in the event under the labor category. Costs associated with training contractors that work within WAP may also be charged to T&TA.

***NOTE:** While health and safety costs are allowable under the Program Operations category, Grantees may use a separate H&S category in the budget.

****NOTE:** All vehicle purchases must receive prior DOE approval; any equipment \$10,000 or more must also receive prior DOE approval. Neither Grantees nor Subgrantees may prepay leases that exceed the end of the grant period. Vehicles and Equipment may be amortized over multiple years.

*****NOTE:** Weatherization is a non-construction program; therefore, no construction of buildings or acquisition of real estate can be charged to this grant. Improvements to a property that are **not in direct relation** to carrying out weatherization-specific tasks **are not allowable** under this grant (e.g., paving a parking lot of the storage area is not considered allowable; however, retrofitting a storage facility with appropriate shelving to accommodate supplies is allowable). Grantees must consult with their respective PO and/or DOE Grants Management Specialist (GMS) to clarify any areas of Grantee question or concern.

Health and Safety – Optional Category (Recommended)

- Indicate the amount of Federal funds to be used to mitigate energy-related health and safety hazards, in accordance with [10 C.F.R. § 440.16\(h\)](#) and [440.18\(d\)\(15\)](#). The H&S cost category must include materials and labor but not training related to the implementation of health and safety measures. Refer to Weatherization Program Notice (WPN) 22-7: Weatherization Health and Safety for allowable costs associated with health and safety.
- Grantees must set H&S expenditure limits or averages for their Subgrantees, providing justification by explaining the basis for setting these limits and providing related historical experience (frequency and cost). These averages may vary depending upon

conditions found in different geographical areas. Limits must be expressed as a percentage of the ACPU. For example, if the ACPU is \$5,000, 10% would equal an average of \$500 per dwelling unit for health and safety.

All H&S plans and budgets are reviewed by DOE as a part of the Annual Award submission. DOE has established that a H&S budget percentage of 20% of Program Operations is acceptable. The percentage is based on H&S cost category divided by the Program Operations cost category. Any Grantee that requests to exceed the 20% threshold must be approved by DOE. Additional information may be requested to justify the higher percentage. Health and Safety expenditures are excluded from the ACPU calculation. They are also not included in cost-justification requirements within the energy audit.

Vehicles and Equipment with an acquisition cost of \$10,000 or more – *Optional Category*

- WAP's Vehicles and Equipment budget category provides Grantees with a mechanism to allow Subgrantee amortization of vehicle and equipment costs over multiple years. *Alternatively, vehicles and equipment may be expensed as a component of the Program Operations budget category.*
- Grantees who propose the Vehicle and Equipment category in the budget must manage and report when costs were expensed, as well as how costs are amortized in the Semi-Annual Report (SAR).
- DOE encourages Grantees to have provisions in the Subgrantee awards to allow the use of the funding to complete additional homes and minimize unexpended balances if vehicles and equipment will not be purchased by the end of the PY.

Notes on Vehicle Purchases and Amortization: If a Subgrantee purchases a new vehicle for \$50,000 with an assumed expected useful life of the vehicle of eight years (96 months), then the cost of that vehicle would be amortized at the rate of \$6,250 per year or \$520 per month. This approach also affects certain types of equipment purchases having a useful life of more than one year and a cost of \$10,000 or more as defined by [2 C.F.R. § 200.439](#). It allows Subgrantees to spread these costs out over the useful life of the vehicle or equipment purchase for the purpose of calculating the average cost per home, even though the full purchase price is reported in the year in which it occurs. If the vehicle or equipment is purchased under program operations, then it is only amortized in the one budget period.

Liability Insurance – *Optional Category (Recommended)*

- All Grantees and Subgrantees must be covered by liability insurance. Liability insurance provides protection in case of personal injury or property damage resulting from the weatherization services. Liability insurance can be charged to the liability category in the budget, which was created to ensure that such costs would not have to be charged to the Administrative cost category (see [*preamble to the Federal Register Notice, 45 Fed. Reg. 13028, 13031, Feb. 27, 1980*](#)).
- The cost of liability insurance is part of the ACPU when the Grantee does not provide an allowance for the costs as a separate Budget Category. Grantees who use the Liability Insurance budget category enable Subgrantees to purchase policies and not include the expense as part of their ACPU. This provision covers general agency liability insurance and does not include any vehicle-related insurance.
- Liability insurance policies generally do not provide for many health and safety issues, such as lead in the form of lead-based paint and other hazardous conditions that might be caused or exacerbated by weatherization activities. Grantees and/or Subgrantees may purchase Pollution Occurrence Insurance (POI) as a part of, or an addendum to, general liability insurance and the costs may be included in the liability insurance category. The policy cannot exclude lead if DOE funds are used to purchase the policy. Another funding source must cover the cost of remediation, clean up, relocation, medical expenses, or any other resulting costs that may not be charged to WAP when Grantees or Subgrantees do not obtain POI coverage and damage occurs or there is disturbance to any other environmental pollutants.

Leveraging – *Optional Category*

- WAP regulations ([10 C.F.R. § 440.14\(c\)\(6\)\(xiv\)](#)) permit Grantees to take a percentage of their grant to undertake leveraging activities which may provide additional funding or other resources to supplement WAP or be used to run a parallel program.
- Leveraging funds can be used by both the Grantee and Subgrantee to:
 - Pay for agency staff or hiring consultant staff to explore and develop partnerships with utility companies and other entities that will generate non-Federal resources for weatherization.
 - Provide oversight and administration of the activities that develop partnerships.
 - Hold meetings with potential and newly established partners.
 - Facilitate matching funds.
 - Negotiate contracts, Memorandums of Understanding (MOUs), etc., with new funding partners/relationships.
 - Develop program design with new partners.
 - Provide technical assistance to new partners.
- The leveraging column can consist of one or more leveraging activities.

- Up to 15% of the annual Federal formula allocation (including Petroleum Violation Escrow (PVE) funds used under WAP) can be used for attracting leverage resources. DOE considers this percentage reasonable for leveraging activities that are in accordance with [10 C.F.R. § 440.14\(c\)\(6\)\(xiv\)](#). The DOE PO can approve of this percentage and related purpose with an explanation of activities to be conducted.
- DOE will conduct a secondary level of review for Grantees requesting more than 15% of the grant be used for leveraging purposes and may request additional information on the anticipated return on investment to justify the higher percentage.
- Grantees must add the required information in the Annual File under IV.4 DOE-Funded Leveraging Activities to add leveraged funds to the budget.

Refer to [WPN 22-9: Managing Multiple Funding Streams within the Weatherization Assistance Program](#).

Financial Audit – Optional Category (Recommended)

Financial audits as required by the Single Audit Act ([2 C.F.R. § 200.425](#)) applies only to Subgrantees expending \$1,000,000 or more in Federal funds during the Subgrantee's fiscal year) are required annually unless biennial audits are permitted under [2 C.F.R. § 200.504](#) paragraph (a) or (b) and are allowable as either an Administrative expense or as a separate Budget Category in the Grantee Plan. This category allows Financial Audit charges to be covered when Subgrantees meet the threshold contained in [2 C.F.R. § 200 Subpart F – Audit Requirements](#). Only the fair-share proportion of the overall financial audit costs must be charged to the DOE award when WAP is one of several programs within an agency being audited.

Grantees must include the following affirmative statement or similar verbiage in their Financial Audit budget justification section or in section IV.7 Miscellaneous of the Annual File: “In accordance with 2 C.F.R. § 200.425(a)(2), only those Subgrantees expending more than \$1,000,000 in total Federal Funding annually will receive Financial Audit funds as identified in the Grantee's SF-424a Budget.”

NOTE: [2 C.F.R. § 200 Subpart F-Audit Requirements](#) (State and local governments and nonprofits) and [2 C.F.R. § 910 Subpart F](#) (for-profit entities), must be consulted for thresholds, etc., and additional questions must be directed to the Grants Officer (GO).

Intake/Eligibility, Energy Audits, and Final Inspections – Optional Category (Recommended)

Grantees may elect to include the optional Budget Categories of Intake/Eligibility, Energy Audit, and/or Final Inspections. (See [WPN 24-7: Optional Budget Flexibilities for the Average](#)

[Cost Per Unit - REVISED](#) for a complete conversation). Only Salaries, Fringe Benefits, and Travel (mileage, lodging, and per diem) associated with the staff performing these duties can be included.

All other direct costs necessary to implement weatherization of an eligible dwelling unit must continue to be budgeted and expensed as Program Operations.

See [III.2 Budget Categories-Section B-Program Operations](#).

Other Optional Categories

- Special Project(s) (*The column in PAGE is titled “Special Projects”, but Grantees can designate a specific purpose and change the title.*)
- Energy Crisis
- Disaster Relief
- Low Cost/No Cost: The cost of low-cost/no-cost materials are not to be included in the ACPU (labor to install the low-cost/no-cost materials is not an allowable cost). Details of any proposed low-cost/no-cost program components must be outlined in the plan following guidelines in [10 C.F.R. § 440.20](#).

III.3 Budget Justification

An updated budget justification is required with each new budget proposed by clicking on the Section B row labels in PAGE (Personnel, Fringe Benefits, Travel, etc.,) which accesses the budget justification detail. Please note that the total amount of funding for each Object Class category (e.g., Personnel) on the budget justification screen needs to equal the total for that corresponding object class category in Section B of the SF-424A budget.

- The budget categories must have whole dollar values in each cell. Note that in Personnel, Fringe, and Indirect Costs categories there is an “Auto Calculate” feature that will adjust the multipliers for each entry to achieve whole dollar values for the totals in the front facing budget form.
- When a Grantee proposes using non-DOE resources not included in the budget to meet a WAP requirement (e.g., personnel costs for a required administrative function or monitoring of a Subgrantee, including associated travel costs), then the Grantee must include a note acknowledging commitment to the DOE requirement within the corresponding Object Class Category of the Budget Justification and include the other funding being used and what portion each funding source is supporting. If comments

cannot be entered in the Budget Justification, then enter the information in Section B “Comments” of the SF-424A Budget.

- Grantees must provide their best and current estimate of each budget category at the time of plan submission.

Personnel

Grantees will 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.

Ensure the following is included in the narrative:

- Identify key personnel by title.
- Identify other personnel by title and include group category to define the employee role.
 - Describe the duties of each employee and the amount of time they spend devoted to the grant. When staff time does not add up to 100%, indicate when other funding will pay for time spent on DOE work, and note the source of the funding.
- State the amount of time (e.g., hours or percentage of time) to be expended, the composite base pay rate, and total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.).
- Identify each staff position (or a Full Time Equivalent) that will be funded by DOE.
 - Include the percentage of the salary that will be covered by DOE and specify the source of funding for staff time that is not covered by DOE.

Fringe Benefits

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. A copy of the latest fringe benefit rate agreement negotiated with, or approved by, a Federal government agency must be included with this application.

If the fringe billing rate is not identified under the federally approved rate agreement, please provide the organization’s benefit package and/or a list of the components/elements that comprise the fringe pool and the cost or percentage of each component/element allocated to the labor costs identified in the Budget Justification.

Travel

DOE expects Grantees to budget adequate funds to allow staff to participate in national and regional conferences and training, as well as participation in related planning committees,

task forces, and other scheduled and related meetings. Travel must also be budgeted for in-state meetings, administrative, financial, and technical monitoring of Subgrantees, etc.

Grantee Annual Plans must detail the number of travelers, estimated cost per traveler, duration of trip, and total cost per trip. Costs related to attending conferences and training (i.e., National Association for State Community Services Programs (NASCSPP), National Community Action Partnership (NCAP), Energy OutWest (EOW), and National Home Performance Conference & Trade Show (HPC) that have weatherization-specific tracks) are allowable as a WAP T&TA expense.

Proposed travel costs in the Grantee Plan must:

- Identify proposed activities and reflect sufficient resources.
- State the number of staff attending and provide reason.
- Cite appropriate law, regulation, or policy governing Grantee travel, and if an appropriate Grantee web link indicates per diems and process, indicate that in the narrative description.
- In the absence of an acceptable, written policy regarding travel costs, Grantees and Subgrantees must comply with [2 C.F.R. § 200.475\(d\)](#).
- Indicate that the travel is for DOE WAP purposes only, and if it is not solely for DOE WAP, then indicate what other funds are being used to support the travel.

IMPORTANT: DOE-approved Grantee Plans reflect authorization to participate in events and activities identified in the plan.

Equipment

The Equipment budget category only covers equipment purchases at the Grantee level, not Subgrantee/contractor level.

Vehicles and equipment mean tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of the capitalization level of the recipient or subrecipient or \$10,000 or more per unit. A Grantee may use its own definition of vehicles and equipment provided that such definition would at least include all the equipment defined above. Further definitions can be found in [2 C.F.R. § 200.1](#).

Materials and Supplies

Materials and supplies are generally defined as an item with an acquisition cost below the lesser of the capitalization level established by the recipient or subrecipient or \$10,000, and in many, but not all situations, supplies have a useful life expectancy of less than one year.

Materials and supplies are generally consumed during the project performance. Further definitions can be found in [2 C.F.R. § 200.1](#).

If a Grantee has a rotating information technology (IT) replacement policy, provide supporting documentation as an attachment to the SF-424 Application and/or provide a web link to support the basis.

Grantees must include a statement that all materials and supplies are less than \$10,000. Further, things like general office supplies (e.g., paper, pens, etc.) should be charged to indirect.

For direct service provider Grantees (e.g., Tribal organizations, territories): This category will be different based on how the provider procures materials. Grantees that are direct service providers must consult with their PO to determine the appropriate cost category.

Contract

The Grantee must provide detailed descriptions and justify all costs related to Subgrantees, contractors, and consultants per below:

- **Subgrantees:** This is a single line item that refers to and **is consistent with the Subgrantee Allocation table** in Section IV.1 of the Annual File. If a Grantee has not identified a Subgrantee to serve a particular geographic location the Grantee may use listed as To Be Determined (TBD) until a Subgrantee has been selected.
- **Vendors (including contractors and consultants):** The Grantee must identify each training center, training contractor, and other contracted Program delivery service provider (e.g., database developer) along with the proposed budget amount.
 - Justification of vendor costs (in any amount) must include the purpose for the products or services and support for the estimated costs that are considered sufficient for DOE evaluation.
 - The vendor must be listed as TBD if the vendor has not been selected or procured. Please indicate if it is a single-year contract/purchase order, a continuation, an option year of a multiple-year procurement effort, or other.

Other Direct Costs

Other Direct Costs include cost items required for the project which **do not** fit clearly into other categories and are **not** included in the indirect pool for which the indirect rate is being applied to this project. Applicants must ensure that Other Direct Costs:

- They must be weatherization-specific direct charges which are solely in support of a specific award, do not support another cost objective, and would not be appropriately categorized in other object class categories above.

- That none of these specific direct charges (e.g., membership fees) violate section VII – Part D – Lobbying, of the ALRD:
 - Grantees that receive an award must agree that none of the funds obligated shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute, regulation, and policy.
- Include a justification for the cost such as vendor quotes, prior purchases of similar or like items, published price list, etc.
- If there are other funds supporting these activities, include the cost share and the fund.
- Other Direct Cost may be:
 - Conference registration fees.
 - Membership fees.
 - Legal services.
 - Other costs that do not clearly fit in with other budget categories.

Indirect Costs (where applicable)

A Negotiated Indirect Cost Rate Agreement, Cost Allocation Plan, or Indirect Rate Proposal is required if reimbursement of indirect costs is requested.

If there is no current federally approved indirect rate agreement or if the agreement has been changed or updated, 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.

In the description, provide a complete explanation and the full calculations used to derive the total indirect costs:

- If the total indirect costs are a cumulative amount of more than one calculation or rate application, the explanation and calculations must 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).
- The rates and how they are applied are not allowed to be averaged to get a singular indirect cost percentage.

III.4 Carryover Explanation

Per Grantee Terms and Conditions, Grantees are authorized to carry over unobligated balances of Federal and non-Federal funds from one budget period to the next for program activities consistent with their approved Grantee Plan, without prior approval by the GO. Should the recipient wish to use carryover funds for activities that are not consistent with the approved Grantee Plan, a budget revision application must be submitted for approval by DOE.

However, Grantees need to tell DOE where the funds are being applied. Grantees will provide a document that includes the following information as an attachment to the SF-424 Application in PAGE.

- Breakout of cost categories (Grantee Administration, Grantee T&TA, Subgrantee Administration, Program Operations, WRF, H&S, etc.) for total carryover for all prior years and current active year (must equal total carryover amount in the proposed budget for the new PY).
- Breakout of cost categories for total carryover amount in the proposed budget for the new PY. See Table 2: Carryover Example for reference.

Table 2: Carryover Example		
Grantee Name, Grant Number, Current PY, Proposed PY		
BUDGET COLUMN HEADING	TOTAL PRIOR YEAR & CURRENT ACTIVE YEAR CARRYOVER (Identify the Cost Categories funds are moving from)	PROPOSED BUDGET CARRYOVER (Identify the Cost Categories that are moving the funds to in the proposed budget for the new PY)
Grantee Administration	\$20,000	\$20,000
Subgrantee Administration	\$9,500	\$7,000
Grantee T&TA	\$14,000	\$0
Subgrantee T&TA	\$11,000	\$0
Program Operations	\$35,000	\$64,000
H&S	\$10,000	\$9,000
Financial Audits	\$500	\$0
Liability Insurance	\$0	\$0
Weatherization Readiness	\$0	\$0
Grantee Formula Carryover Subtotal:	\$34,000	\$20,000
Subgrantee Formula Carryover Subtotal:	\$66,000	\$80,000
Total Carryover – Formula	\$180,000	\$180,000

III.5 Reprogramming T&TA Assistance Funds

Grantees may reprogram T&TA funds to Program Operations by utilizing the following considerations below:

1. Grantee has enough workers trained to meet the planned production based on the statewide ACPU at which the Grantee operates.
2. Grantee has reviewed and made certain that they have the capacity to expand the current production levels of homes weatherized.
3. There are sufficient funds to conduct the necessary monitoring when a Grantee uses T&TA funds to accomplish monitoring requirements.
4. Grantee has considered using a portion of its T&TA funds for necessary Program Assessment support.

If, after these considerations, a Grantee would like to reprogram funds that have exceeded more than 10% of its T&TA funds to Program Operations, it may include the reprogrammed funds in its budget. Grantees must provide an attachment in the SF-424 titled “Reprogramming T&TA Funds” to address the items outlined above and indicate the number of units this reprogramming of funds will allow the state to serve. Once T&TA funds are reprogrammed into the Program Operations budget category, they cannot be reprogrammed back into T&TA funds without the approval of the DOE GO. For additional information on the process needed to request reprogrammed funds, please contact the assigned PO.

IV. ANNUAL FILE

IV.1 Subgrantees

Grantees must determine all Subgrantees that will carry out the Program and comply with [2 C.F.R. § 200.331](#) and [10 C.F.R. § 440.15](#).

Up-to-date information must include:

- Name
- Address
- Unique Entity Identifier (UEI) number
- Contact person
- Type of organization (e.g., community action agency, nonprofit, Tribal organization, or unit of local government)

- Tentative allocation (including WRF if applicable)
- Number of dwelling units (minimum one unit) expected to be weatherized during the PY
- Sources of labor
- Congressional district(s) and counties served

Selection of Subgrantees

[42 USC § 6864\(b\)\(4\)](#) establishes the criteria for the selection of Subgrantees, as follows:

(4) selected on the basis of public comment received during a public hearing conducted pursuant to section 415(b)(1) [42 USC § 6865(b)(1)], and other appropriate findings, community action agencies or other public or nonprofit entities to undertake the weatherization activities authorized by this title: Provided, Such selection shall be based on the agency's experience and performance in weatherization or housing renovation activities, experience in assisting low-income persons in the area to be served, and the capacity to undertake a timely and effective weatherization program: Provided further, That in making such selection preference shall be given to any community action agency or other public or nonprofit entity which has, or is currently administering, an effective program under this title or under title II of the Economic Opportunity Act of 1964.

Procedures for annual selection, replacement, or termination of Subgrantees, are set forth in [10 C.F.R. § 440.14](#) and [10 C.F.R. § 440.15](#). It is important to note that [400.15\(a\)\(3\)](#) states that, “preference is given to any Community Action Agency (CAA) or other public or nonprofit entity which has or is currently administering an effective weatherization program.”

Subgrantees and any subcontracting agencies **must check the Excluded Parties Listing (EPLS) for their subawards in the [System for Awards Management \(SAM\)](#)**. Please refer to the ALRD, Registration/Submission Requirements, item one for additional information. No awards will be made by DOE to Grantees with applications that include organizations listed on the EPLS.

See Section V.8.1 Overview and Organization.

IV.2 WAP Production Schedule

Grantees must include the total number of dwelling units proposed to be weatherized with grant funds during the budget period. A complete production schedule will satisfy this requirement. The form to be used for specifying the production schedule is included as part of the Annual File in PAGE.

Grantees need to determine an ACPU that correlates with their actual production reporting. The production schedule has space to calculate the ACPU for Program Operations, per [10 C.F.R. § 440.14\(c\)\(6\)\(vii\)](#).

IV.3 Energy Savings

Grantees will provide an estimate of the amount of energy to be conserved, pursuant to [10 C.F.R. § 440.14\(c\)\(4\)](#). Grantees must indicate the methodology used to determine energy savings. No explanation is necessary when using the DOE Algorithm; therefore, nothing must be entered in the narrative box (leave the narrative box blank). Information must only be in the narrative box when explaining a method other than the DOE energy saving algorithm.

- DOE Algorithm
- Other (describe in Grantee Plan).

Using Other Weatherization Savings Methodologies: Grantees choosing to use other weatherization savings methodologies must estimate and identify the methodology used to project energy savings, clearly explaining the information sources for energy savings per unit.

IV.4 DOE-Funded Leveraging Activities

The [State Energy Efficiency Program Improvement Act of 1990 \(SEEPIA\)](#) encouraged weatherization to consider an optional activity that may be undertaken within the award. DOE released WPN 22-9: Managing Multiple Funding Streams within the Weatherization Assistance Program, on how to manage multiple funding streams within the Program, including a section on leveraged funding. Additional information contained in [WPN 22-12: Multifamily Weatherization - REVISED](#), addresses how leveraged funds and buydown funds are treated in operating a local program.

Refer to [Section III.2 Budget Categories – Section B](#) and [10 C.F.R. § 440.14\(c\)\(6\)\(xiv\)](#) for requirements on leveraging, including that Grantees provide the amount of Federal funds to be budgeted and an explanation of how they will be used to leverage increased amounts of weatherization assistance to low-income clients. Grantees will report on leveraging activities in the annual report to DOE.

Leveraging Funds Implementation: In some limited cases, a Grantee may want to consider including the actual leveraged funds as part of the DOE grant to access additional Grantee administration resources.

If the Grantee chooses to add leveraged funds to the budget, the following information must be identified for each participating third party or Subgrantee: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed leverage item (cash, services, or property).

A unit can be reported as DOE unit per the definition below:

DOE Weatherized Unit: *A dwelling on which a DOE-approved energy audit or priority list has been applied, at least one DOE-funded allowable energy conservation measure is installed, and weatherization work has been completed and received a final inspection.*

The use of DOE funds on a unit may include, but is not limited to, indirect expenditures (e.g., rental leases, telephone bills, computer equipment, other amortized equipment) and direct costs such as energy auditing, measure installation, transportation, staff time, etc. A dwelling unit that meets both the definition of a DOE weatherized unit and uses **DOE funds for direct costs must be reported as a DOE-completed unit.**

Call-Back/Add-On Work: Grantees and Subgrantees may not charge the WAP for additional work on homes that have already been reported to DOE as completed, weatherized units. Once a home is reported to DOE as complete, the required final inspection indicates that all applicable work performed was done so in a workmanlike manner, including all work that may have been contracted out such as furnace work, etc. Performing activities such as routine maintenance, repairs, or warranty-type work is not permitted using DOE funds for work beyond those costs already invoiced. Grantees and Subgrantees may use other funds that are not included as a part of their DOE WAP budget plans to pay for the costs associated with these activities. See WPN 22-4: Quality Work Plan Requirement Update.

IV.5 PAC Members

A PAC will be established in accordance with [10 C.F.R. § 440.17](#). The regulations reflect DOE's intentions to offer Grantees some flexibility in establishing the PAC. In order to change the PAC to an existing Grantee council or commission, not affiliated with WAP, the Grantee must explain to DOE why the current WAP PAC is either nonexistent or is not functioning as outlined in [10 C.F.R. § 440.17](#) of the Program regulations. DOE does not intend, nor does it mean to imply, that the Grantee has the discretionary authority to eliminate and replace the PAC without due process or cause.

Any Grantee who wishes to substitute an existing Grantee council or commission for a PAC must address this issue as a part of the public hearing held regarding the annual Grantee Plan. The PO will make the final determination regarding this request as a part of the review of the application and Grantee Plan.

Any person(s) employed in any Grantee weatherization program can be a member of the PAC (or a commission or council serving the role of a PAC) but must abstain in reviewing and approving the activities associated with WAP. This requirement to abstain only pertains to Grantee-level PAC members, not Subgrantee-level PAC members.

Provide the following details in PAGE (or in a PDF attachment) for the PAC section:

- Name of each person on the PAC.
- Complete up-to-date contact information for each PAC member.
- Name and the type of organization they represent (interests such as low-income, elderly, persons with disabilities, Native Americans, utilities, etc.).
- Minutes from required PAC meetings related to the development of and comment on the Grantee Plan.

IV.6 State Plan Hearings

Pursuant to [10 C.F.R. § 440.14\(a\)](#), before submitting an application to DOE, the Grantee must conduct one or more public hearings to receive comments (verbal or written) on the proposed Plan. A Grantee must provide **a minimum of ten calendar days' notice** that a public hearing will occur and inform Subgrantees and the general public of how they may obtain a copy of the proposed Grantee Plan and access the virtual public hearings or attend in person.

Grantees may use Grantee-approved print publications and/or alternative electronic public notification used by other federally funded programs, provided the documentation (e.g., announcement, transcript, etc.) clearly identifies WAP. This document should be uploaded to the SF-424.

A copy of the Transcripts or a recording must be attached to the SF-424. Include the following information, as necessary.

- The Grantee must identify how the notice was provided to Subgrantees and the public (e.g., a list of publications, publisher's affidavit when available, and/or copy of the notice(s) must be attached to the SF-424 Application in PAGE).
- Proof of evidence of a minimum of ten calendar days' notice and availability of the draft Grantee Plan (e.g., receipt that includes original posting date).
- Proof that the Grantee informed the public of where/how to obtain copies of the Plan.
- An official transcript of the public hearing.
 - DOE considers the submission of a recording of the public hearing as a best practice. Grantees are not required to use a court reporter. A transcript can be made from the recording of the hearing. If this approach is used, please submit the recording as well as the transcript.

- A summary that was made available with the plan that highlights any changes to the plan.

Most Grantees have laws governing the conduct of public hearings. If applicable, those laws and requirements must be followed as well.

Grantees should be aware that if significant program changes are made after the initial public hearing(s), an additional hearing may be required. **DOE encourages the inclusion of a reallocation provision in the Plan to enable the Grantee to actively manage the grant and move funds as necessary to fully expend funds during the budget period.** Vetting this reallocation provision during the initial public hearing may negate the necessity of performing subsequent hearings if the prescribed process for the reallocation of funding in the DOE-approved Plan is followed.

IV.7 Miscellaneous

The Miscellaneous section is available for Grantees to use, as appropriate, for any activities that are not routinely administered as part of WAP or in the case there is no other section of the annual file specifically noted to describe the activities.

The following elements must be included within the Miscellaneous section:

Recipient Business Officer and Recipient Principal Investigator

Identify the name, email address, and phone number for the “Recipient Business Officer” and “Recipient Principal Investigator”, as defined below.

These personnel are the official Recipient points of contact that will be identified in the Assistance Agreement, which is the authorizing award document issued by the GO. If the designated Recipient Business Officer or Recipient Principal Investigator changes during the project period of performance, it is incumbent upon the Grantee to notify the GMS and PO assigned to the award.

“Recipient Business Officer” is the representative authorized to act on behalf of the Grantee to negotiate the award. All DOE official correspondence related to the award will be addressed to the Recipient Business Officer.

“Recipient Principal Investigator” is the technical representative authorized to act on behalf of the Grantee as project manager for the award. The Recipient Principal Investigator is the prime point of contact for the PO during the project period of performance and will receive a copy of all DOE official correspondence related to the award.

V. MASTER FILE

The Master File will be considered static for the life of the three-year grant cycle. If there are no changes to any specific sections of the file, there is no need to populate the PY 2026 Grantee Plan with the Master File, and it can remain on revision 0. If the Master File is copied and carried forward in PAGE, Grantees will need to identify the changes made to their PO to expedite the file review process.

V.1 Eligibility

Every dwelling must meet client eligibility ***and*** building eligibility requirements.

V.1.1 Approach to Determining Client Eligibility (V.1.1 Box 1)

Provide a description of the definition of low-income used to determine eligibility under [10 C.F.R. § 440.22\(a\)](#) and [10 C.F.R. § 440.14](#). Grantees must briefly describe their procedures, in accordance with [10 C.F.R. § 440.16\(a\)](#), to ensure that no dwelling unit is weatherized without documentation that the unit is an eligible dwelling unit (providing a copy of the link to a Policy and Procedures Manual may satisfy this requirement).

Income Verification (V.1.1 Box 2)

Describe what household eligibility basis will be used by Subgrantees to determine income eligibility of applicants and describe their procedures, in accordance with [10 C.F.R. § 440.16\(a\)](#).

The Master File must clearly state that application eligibility expires 12 months from certification date if work on dwelling unit (energy audit) has not been initiated.

See [10 C.F.R. § 440.22 Eligible dwelling units](#) for statutory options for eligibility determinations. WAP worked with other Federal Partners to expand categorical eligibility:

- [WPN 22-5: Expansion of Client Eligibility in the Weatherization Assistance Program.](#) WAP Grantees and Subgrantees may certify that applicants have met the income requirements of U.S. Department of Housing and Urban Development (HUD) means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Methods of verification of eligibility must be included in the client file.

- WPN 25-4, Expansion of Client Eligibility to Select U.S. Department of Agriculture (USDA) Programs. Eligible USDA programs are those that accept households with 80 percent Average Median Income (AMI) or below, depending on specific program parameters.

The income limits chosen may not be arbitrarily lowered by the Grantee for parts of the Grantee service territory. The specific criteria above must be used; follow them carefully when stating the criteria in the Master File.

Eligibility for Benefits (V.1.1 Box 3)

Include any policies or procedures in place to ensure DOE weatherization services will only be provided to eligible populations. Grantees are directed to review the [Low Income Home Energy Assistance Program \(LIHEAP\) Information Memorandum \(IM\) U.S. Department of Health and Human Services \(HHS\) Guidance on the Use of Social Security Numbers \(SSNs\) and Citizenship Status Verification](#) and [LIHEAP IM 2023-03 Assistance for Eligible Household Members Residing with Ineligible Household Members](#).

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation (V.1.2 Box 1)

Per [10 C.F.R. § 440.22\(b\)\(3\)](#), Grantee must describe what dwelling structures are eligible for weatherization and the procedures for how each dwelling (and corresponding units) is determined to be eligible.

Policies must include information on collecting:

- Ownership documentation.
- Statement ensuring that not less than 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multifamily buildings) of the dwelling units in the building are eligible based on income requirements or will become eligible in the next 180 days.
- Income documentation for renters.
- Statements that tenant rent will not be increased (unless those increases are demonstrably related to other matters other than the weatherization work performed) or that the building won't be sold.
- Policies to address renters whose utilities are included in rent.
- Addressing HUD public housing, USDA housing, and associated programs.

A complete list of requirements can be found at [10 C.F.R. § 440](#).

Describe Reweatherization Compliance (V.1.2 Box 2)

The [Consolidated Appropriations Act of 2021](#) was amended to read as follows:

“(2) Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other Federal programs (in this paragraph referred to as ‘previous weatherization’), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other federal programs, or from receiving non-federal assistance for weatherization.”

Under this section, provide the specific process for tracking homes weatherized within the past 15 years to ensure that these units are not reweatherized with Federal funds.

NOTE: The term “reweatherization” applies only to those units which fall into the time frame indicated above and described under [10 C.F.R. § 440.18](#).

Describe What Structures are Eligible for Weatherization (V.1.2 Box 3)

Describe what structures are eligible for weatherization. Include information on any non-traditional dwelling units such as shelters, apartments over businesses, etc. and work with the PO to ensure they meet WAP regulations on whether the unit is eligible.

Weatherization of nonstationary campers and trailers that do not have a mailing address associated with the eligible applicant(s) is not allowed. The use of a post office box for nonstationary campers or trailers does not meet this requirement.

See WPN 26-1 to which these Application Instructions are attached for details on the National Environmental Policy Act (NEPA) as it relates to eligible structures.

Describe How Rental Units/Multifamily Buildings Will Be Addressed (V.1.2 Box 4)

DOE issued [WPN 22-12: Multifamily Weatherization - REVISED](#), and [WPN 22-13: Weatherization of Rental Units](#). Please reference these documents.

Grantees will include an explanation for how they will ensure that the benefits of weatherization to occupants of rental units are protected in accordance with [10 C.F.R. § 440.22\(b\)\(3\)](#) in this section.

Grantee procedures for rental units – single family or multifamily – will ensure that:

- Written permission of the building owner or authorized agent is obtained before commencing work.
- Benefits of the services accrue primarily to the low-income tenants residing in such units.
- For a reasonable period after completion, the household will not be subjected to rent increases (unless those increases are demonstrably related to other matters other than the weatherization work performed).
 - There are adequate procedures whereby the Grantee can receive tenant complaints and owners can appeal, should rental increases occur.
- No undue or excessive enhancement will occur to the value of the dwelling unit.
 - A properly executed energy audit that includes cost-effective (Savings-to-Investment Ratio (SIR) of 1.0 or greater) energy conservation measure(s) (ECMs) would not constitute an undue enhancement.

Grantees may seek landlord agreement or placement of a lien (or other contractual restrictions) upon the property being weatherized to secure the Federal investment and to address issues of eviction from and sale of property, per [10 C.F.R. § 440.22](#).

Multifamily buildings must include additional elements in the procedure:

- Requirement of financial participation, when feasible, from owners of such buildings.
- Explanation in Grantee Plan of criteria used to weatherize multifamily buildings with 50% income eligible units if proposing to use this level for buildings larger than fourplex.

Describe the Deferral Process (V.1.2 Box 5)

Deferral describes a circumstance when an otherwise eligible dwelling unit (e.g., income eligible) may need to correct issues prior to receiving weatherization services due to certain occupant issues or dwelling characteristics. Grantees need a policy for when a building must be deferred because additional work is needed before weatherization can be done.

Provide a copy of the deferral policy, which minimally must contain:

- The circumstances/situations when an eligible dwelling may be deferred.
- The client notification and referral procedures, including how the home may be made weatherization ready.
- A deferral appeals process for the client.
- How client eligibility and priority will be addressed for deferred dwellings, including defined time limit before requalifying clients for the program becomes necessary.
- A deferral/referral tracking mechanism/process to allow for future evaluation of funding and leveraging activities.
 - DOE has developed an optional [deferral tracking tool](#) that Grantees may use or to assist in developing their own.

WRF

WRF is a set-aside fund that allows WAP to address the necessary repairs (e.g., H&S issues, structural issues) in dwellings deferred from receiving weatherization services, or dwellings that are currently in the queue to be weatherized, but at risk of deferral.

Grantees must develop and submit a WRF Plan. Grantees should consult [WPN 24-9: Weatherization Readiness Fund - Implementation - REVISED](#). Additionally, DOE has provided an optional [WRF Plan Template](#) that Grantees may use.

V.1.3 Definition of Children

The definition of "children," chosen by the Grantee and consistent with [10 C.F.R. § 440.3](#), shall be provided as required by [10 C.F.R. § 440.14\(c\)\(6\)\(xiii\)](#). The selection of age used to define children in the Plan becomes the basis used for reporting. Grantees are reminded that there must be consistency among Subgrantees regarding age qualification.

V.1.4 Approach to Tribal Organizations

Grantees will include a statement, in accordance with [10 C.F.R. § 440.16\(f\)](#), that low-income members of a Tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state unless the Grantee has made the recommendation provided in [10 C.F.R. § 440.12\(b\)\(5\)](#). In such a case, the Grantee will provide a recommendation in its Grantee Plan that a Tribal Organization be treated as a local applicant eligible to submit an application pursuant to [10 C.F.R. § 440.13\(b\)](#) and provide a referral for the Tribal Organization to contact the Grantee's PO.

V.2 Selection of Areas to be Served

Grantees will provide, per [10 C.F.R. § 440.14\(c\)\(6\)\(ii\)](#), an explanation of the method used to select each area to be served by a weatherization project.

V.3 Prioritizing Clients

Grantees will clearly describe procedures for priorities given to certain portions of the eligible population in receiving weatherization assistance. Specifically, as required by [10 C.F.R. § 440.16\(b\)](#), Grantees must define the criteria used by the Grantee and Subgrantees to prioritize clients for weatherization service. Grantees have flexibility to determine how to prioritize (i.e., priority points or weights) but must develop criteria to ensure that the following applicant priority categories are addressed:

- Elderly persons
- Persons with disabilities
- Families with children
- High residential energy users (optional)
- Households with a high energy burden (optional)

Grantees must also describe how applicants are drawn from the waiting list. As a reminder, recertification of eligibility must occur within 12 months from certification date if work on dwelling unit (energy audit) has not been initiated.

Grantees must describe how they define high energy burden or high energy user (e.g., utility data, algorithm, etc.) in the Master File and report these priority categories in the semi-annual report. Grantees have flexibility to determine whether "high residential energy users" and "households with a high energy burden" (as defined in [10 C.F.R. § 440.3](#)) are to be stand-alone priority categories or whether they are used as maximizers with other priority categories of the elderly, persons with disabilities, or families with children.

The categories listed are the **only** allowable priorities for WAP. The first consideration must be by priority category. Grantees then may create a second level of categorization, such as the oldest application certification date, for positioning applicants within the same allowable priority category. The timing of service to an applicant in a priority category may also be used in a second level of categorization so services can be coordinated with other funding sources.

DOE encourages assigning the highest priority to households with a high energy burden, as defined in [10 C.F.R. § 440.3](#). For regional energy burden metrics see the “Background Data and Statistics on Low-Income Energy Use and Burden for the Weatherization Assistance Program: Update for Fiscal Year 2020” ([ORNL/TM-2020/1566](#)). This report will be updated as new information is available.

Housing type is not a recognized priority under the regulations.

V.4 Climatic Conditions

Per [10 C.F.R. § 440.14](#), Grantees must describe the climatic conditions within the state, including a map or table showing the heating degree days and cooling degree days (if cooling measures are considered) in each area served by a weatherization project. Climate data in units other than heating and cooling degree days may be provided if desired. Sources of climate data are to be listed. An explanation will be given by Grantees of how climatic variances within the state affect the weatherization of eligible units (e.g., site-specific client files used in computerized energy audits).

V.5 Type of Weatherization Work to be Done

V.5.1 Technical Guides and Materials

All technical guides (for all single-family, manufactured housing (mobile homes), and multifamily buildings, as applicable) and materials must meet the specifications, objectives, and desired outcomes outlined in the [Standard Work Specifications \(SWS\) for Home Energy Upgrades](#) (refer to [WPN 22-4: Quality Work Plan Requirement Update](#) for additional details). The WPN includes information on field guides, and may include program updates, procedure manuals, standards documents, etc.

- Grantees will provide an electronic link to or an electronic copy of their current, DOE approved field guide and/or standards for single-family, manufactured housing (mobile homes), and multifamily buildings, as applicable. The field guide approval date in PAGE is entered and maintained by the PO. Attach the document to the SF-424.

- Grantees must provide DOE with documentation confirming that these materials have been received by all Subgrantee agencies and direct-hire contractors. Grantees are encouraged to provide an electronic link to or electronic copy of any other relevant program guidance materials that are provided to Subgrantees by the Grantee.
- Provide a statement that all Subgrantee agreements and vendor contracts will **contain language which clearly documents the SWS for work quality as outlined in** Section 1 of the Quality Work Plan.
- Provide a statement declaring all work is being performed in accordance with the DOE-approved energy audit procedures and [10 C.F.R. § 440: Appendix A to Part 440](#). All materials that are approved for use that are not included in [10 C.F.R. § 440: Appendix A to Part 440](#) must be listed in this section.
- Grantees must provide language to be included in Subgrantee contracts that outline the expectations for work quality and instruct the Subgrantee to include these expectations in any contract entered with contractors and vendors.

See WPN 26-1 in this document package for information on NEPA Determination and Historic Preservation.

V.5.2 Energy Audit Procedures

In accordance with [10 C.F.R. § 440.21\(i\)](#), all Grantees must resubmit their energy audit procedures (and priority list(s), if applicable) to DOE for approval every five years and at least six months in advance of the expiration date.

At a minimum, the Grantee must provide a statement in the Grantee Plan indicating commitment to comply with this requirement. DOE specifically requires energy audit procedures to be separately developed and approved for use on site-built single-family housing types and manufactured home (mobile home) housing types.

If re-approval is required within this PY, Grantee must identify in the comment box what steps it is taking to obtain re-approval including milestones, timeline, and estimated date of submission. The date of last approval for both the energy audit process and priority list(s), if applicable, including H&S protocols, is maintained by the PO.

Detailed guidance is provided in [WPN 23-6: Revised Energy Audit Approval Procedures, Related Audit and Material Approvals Including Fuel-Switching and Solar PV](#).

Multifamily

DOE requires Grantees to submit a multifamily energy audit tool and procedures when multifamily dwelling units (buildings with five or more units) represent more than 20 percent of a Grantee's reported completed units. The multifamily audit process approval date is maintained by the PO. Grantees that fall below the 20 percent threshold and do not have a DOE-approved multifamily energy audit tool and procedures must take two actions:

- Describe in the Grantee Plan the approach that will be taken to ensure that the eligible occupants of multifamily dwellings receive appropriate, cost-effective weatherization.
- At the time a multifamily project is considered, the Grantee must submit to the PO the necessary material to approve the multifamily project prior to commencing weatherizing the building (e.g., engineering assessment, energy audit input/output).
The PO will review and approve/reject the project(s) on a case-by-case basis in the absence of an approved multifamily energy audit tool.

Grantees without an approved multifamily energy audit tool and process must estimate in the comment box what percentage of the units the Grantee weatherizes are multifamily, describe what approach the Grantee will take to ensure this housing stock is served, and provide a statement to verify the Grantee understanding of the process to be followed to have projects approved on a case-by-case basis.

V.5.3 Final Inspection

Grantees will describe their procedures to ensure that no dwelling unit is reported to DOE as completed until all weatherization measures have been installed in a workmanlike manner and in accordance with the priority determined by the energy audit procedures, required by [10 C.F.R. § 440.21](#), and the Subgrantee, or its authorized representative, has performed the final inspection.

Grantees must ensure that all Subgrantee final inspections are performed by certified QCI as outlined in [WPN 22-4: Quality Work Plan Requirement Update](#) and as stated in the DOE-approved written Grantee Quality Control Inspection Policy.

- Grantees must provide a copy of relevant policies and procedures that will govern the quality control inspection process in accordance with the quality work plan.
- Include how the final inspection must assess the energy audit to confirm the accuracy of the field site data collection and energy audit software inputs and that measures called for on the work order were appropriate and in accordance with the Grantee's energy audit procedures and protocols approved by DOE.
- Disciplinary actions for inadequate inspection practices.

- This must include a description of how the inspector is related to the work being done on the home (i.e., did they also complete the energy audit or are they an independent third party).
- The percentage of homes will be included in the Grantee monitoring process.
- Copies of the monitoring inspection forms that will be used by Grantee monitors to ensure that work is completed in accordance with the work quality requirements outlined in [WPN 22-4: Quality Work Plan Requirement Update](#) must be provided.

Individuals conducting technical monitoring at the Grantee level are required to have an active QCI certification and possess skills outlined in the National Laboratory of the Rockies (NLR) Job Task Analysis (JTA) for QCIs. The Grantee will provide copies of the QCI certification of technical monitors or other documentation for how this requirement is being met as an attachment to the SF-424. The QCI performing the Grantee monitoring and the Final Inspector may not be the same person.

V.6 Weatherization Analysis of Effectiveness

An analysis must be provided by the Grantee, per [10 C.F.R. § 440.14\(c\)\(6\)\(i\)](#), of the existence and effectiveness of any weatherization projects 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. Grantees must describe in detail plans for analysis of effectiveness activities during this PY and beyond.

Examples of activities that DOE encourages include the following:

- Is the Grantee conducting realized energy savings studies?
- How is the Grantee assessing effectiveness of Subgrantee weatherization?
- How is the Grantee assessing training needs and how is the Grantee using the comparisons in the development of T&TA activities and priorities?
- How is the Grantee incorporating monitoring feedback?
- How does the Grantee maintain continuous improvement?
- How is the Grantee tracking Subgrantee performance reviews?
- If a Subgrantee has failed final inspections, how are things improving?
- If a Subgrantee has management findings or concerns cited because of Grantee monitoring or audit proceedings, how are things improving?
- What internal controls will be implemented this year to affect improvement?
- Are there technical and financial systems that have been reviewed?
- Has the Grantee performed a market analysis to ensure measures are being costed accurately?

V.7 H&S

Per sections [10 C.F.R. § 440.16](#), [10 C.F.R. § 440.18](#), and [10 C.F.R. § 440.21](#), WAP is tasked with improving the health and safety of the clients it serves. The cost of eliminating health and safety hazards, elimination of which is necessary before, or because of, installation of weatherization materials is allowable.

DOE recommends, in developing the H&S Plan, Grantees use the DOE [H&S Template](#), which is updated periodically. It may be difficult to address all required elements in the H&S Plan without following the template. In addition to addressing all elements contained in [WPN 22-7: Weatherization Health and Safety](#) (including the Table of Issues), Grantees must make specific note of any items that are being removed (or conditionally removed) from the H&S category, that meet the definition of Incidental Repair Measures (IRM) under Allowable (Non-ECM) Measures, formerly [WPN 19-5](#), and will be charged as IRMs.

The Grantee's H&S Plan will also include any other health and safety related policies or procedures including:

1. Occupant Pre-existing or Potential Health Condition Screening
2. Hazard Identification Notification Form
3. Radon Informed Consent Form.

The H&S Plan may be a separate attachment to the SF-424 in PAGE.

V.8 Program Management

V.8.1 Overview and Organization

Grantees will provide a brief description of the Grantee organization that operates the Weatherization Program.

The description will include:

- An organization structure description (e.g., chart, narrative) how weatherization activities are structured within the organization.
 - The organization of the weatherization office (program managers, monitors, administration, etc.).
 - The relationship of the weatherization organization to other units of the state government (e.g., whether the agency operating WAP is also responsible for the State Energy Program (SEP), LIHEAP, other housing programs, etc.).

Grantees intending to conduct a competitive process to select Subgrantees to participate in the following PY must describe:

- The activities it intends to undertake during this PY to develop competitive solicitation.
- The criteria that will be used to determine whether a current Subgrantee is providing effective service.
- A timeline for the competitive selection process.
- A copy of any Request for Proposal or similar document shall be submitted to DOE for review prior to release.

If applicable, applicants may also reference in this section any manuals that are relevant to WAP operations.

V.8.2 Administrative Expenditure Limits

Describe how the Grantee allocates their Administration funds to the Subgrantees and to the Grantee and demonstrate that the allocations fit within the administrative dollar rules. For additional guidance on the administrative allowances, please refer to the [Administrative Categories in section III.2](#).

V.8.3 Monitoring Activities

Grantees will follow [WPN 24-4: Weatherization Assistance Program Monitoring Procedures - REVISED](#), in filling out the monitoring section. This section must address monitoring activities specific to the current award cycle. For PY 2026, DOE is allowing the Grantee to provide a monitoring plan for the full award cycle, eliminating the need to resubmit annually unless there are material changes that would require adjusting the monitoring plan.

- Describe in detail the Grantee's policies and procedures (which include resolution strategies/corrective action plans if issues are identified) for:
 - Technical Monitoring
 - Subgrantee Monitoring (including both Programmatic & Management and Technical)
 - Financial Monitoring
- Indicate the staff dedicated to the monitoring effort and identify whether they are technical or administrative monitors. Include required credentials of monitors.
- Grantees must indicate the percentage of Admin and/or T&TA funds allocated for monitoring activities.
- Grantees must describe and provide their monitoring schedule in detail indicating not only the frequency of visits, but also a tentative schedule of when these visits may occur in the current award cycle.

V.8.4 T&TA Approach and Activities

As of PY 2026, DOE is streamlining the approval process by allowing the Grantee to provide a comprehensive training plan to cover the full award cycle. Grantees will indicate the methods used to provide T&TA to Subgrantees and the methods employed to ensure quality of work and adequate financial management control at the Subgrantee level. While the overall approach to training, technical assistance, and monitoring may be constant, budgets and activities may change from year to year.

T&TA Activities

DOE recommends utilizing the [T&TA Planning Tools Voluntary Templates webinar](#) and the [WAP T&TA Planning & Reporting template](#) to assist in capturing all of the key information required for the T&TA plan and reporting.

DOE requires Grantees to identify plans for their overall training and provide a breakdown of training between comprehensive and specific training as a percentage and across job task analysis as a percentage. Each section must add up to 100%.

Grantees must ensure that all training paid for with WAP T&TA funds meet the requirements of WPN 22-4: Quality Work Plan Requirement Update, detailed within [Section 3: Workforce Training](#).

- Grantees must provide a Training Plan that includes a Training Needs Assessment (TNA) which identifies and assesses training needs and plans for meeting those needs over a defined period.
- Grantees must ensure their respective Training Plans include a provision to provide Comprehensive training, which is part of an overall curriculum aligned with the topics within the given JTA being trained on. Comprehensive training must be administered by, or in cooperation with, a training program that is accredited by a DOE-accepted credentialing body for the JTA being taught.

Please note: Training plans can span multiple program years. The Grantee decides which categories of workers will be trained and the frequency of that training.

Grantees must describe the proposed training plan and milestones necessary to ensure the training plan is on pace to be accomplished. At a minimum, the plan must also address the following elements found in the [Quality Work Plan Guidance, WPN 22-4](#):

- Overall T&TA Plan

- Workforce Credentials
- Training
- Technical Assistance

T&TA funds may also be used to train contractors at the Subgrantee level participating in the Program. The use of T&TA funds to reimburse contractors is limited to T&TA that supports the four Home Energy Professionals occupations (i.e., Retrofit Installer/Technician, Crew Leader, Energy Auditor, and QCI). The T&TA Plan must describe contractor T&TA activities.

Examples of contractor/agency retention agreements can be found on WAP's website under the [Resource Hub](#) or can be obtained from the PO by request.

Client Education

Describe what current and planned client education materials and/or activities are included in the T&TA budget category (e.g., client education, website, packets, and open houses.) Note: this does not include training workers to deliver client education. Training workers to deliver client education must be described in the Training section above.

V.9 Energy Crisis and Disaster Response Plan

DOE emphasizes that Federal statutes and regulations governing the WAP remain in effect during energy crises or disasters. Grantees may therefore include an energy crisis and disaster response plan which must ensure their energy crisis and disaster response plans operate within the established limitations and permissible flexibilities of WAP resources, as defined by [42 U.S.C. § 6861 et seq.](#) and [10 C.F.R. § 440](#). Grantee must also indicate how an energy crisis or natural disaster plan is triggered (e.g., Federal declaration).

The use of WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials. Allowable expenditures under WAP include:

1. The cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective.
2. The cost of eliminating health and safety hazards, elimination of which is necessary before, or because of, the installation of weatherization materials ([10 C.F.R. § 440.18\(d\)\(9\)](#); [10 C.F.R. § 440.18\(d\)\(15\)](#)).

To the extent that the services are in support of eligible weatherization (or permissible reweatherization) work, such expenditures would be allowable. For example, debris removal at a

dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. Please note the following still apply:

- ACPU limit(s) as defined by [10 C.F.R. § 440.18\(a\) and \(b\)](#) and [42 U.S.C. § 6865\(c\)](#)
- Allowable uses for WRF, as outlined in the Grantee Plan
- Requirements around incidental repairs ([10 C.F.R. § 440.14\(c\)\(6\)\(viii\)](#)).
 - The Grantee must also develop, publish, and implement procedures to ensure that Subgrantees limit expenditure of funds for installation of materials (other than weatherization materials) to abate energy-related health and safety hazards to a list of types of such hazards, permissible abatement measures, and costs necessary ([10 C.F.R. § 440.16\(h\)](#)). As such, Grantees must ensure that the limits on the use of WAP funds to address disaster related hazards are included in the approved Grantee Plan.
- Use of agency weatherization vehicles and/or equipment.
 - Costs associated with the use of agency weatherization vehicles and/or equipment for WAP-allowable activities during an energy crisis or disaster must be appropriately allocated according to the Uniform Guidance in [2 C.F.R. § 200.405 \(Cost Allocation\)](#). Such activities must align directly with the program's purpose of increasing energy efficiency or mitigating immediate threats to WAP-funded assets, rather than general disaster relief.
- Priority assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens ([10 C.F.R. § 440.16\(b\)](#)).
 - It would be permissible to consider households located in the disaster area as a priority if the households are eligible, meet one of the priorities established in regulation, and are free and clear of any insurance claim or other form of compensation that would cover weatherization-eligible damage incurred from the disaster, consistent with WAP's supplemental role.

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include securing weatherization materials, tools, equipment, and weatherization vehicles or protection of local agency weatherization files, records, and the like during the initial phase of the disaster response. **However, using DOE funds to pay for weatherization personnel to perform relief work in the community because of a disaster is not allowable.**

V.10 Dispute Resolution Process

Grantees must provide as an attachment in the SF-424 a copy of the program's Dispute Resolution Process which outlines their procedures to resolve issues that arise with owners of assisted buildings, tenants, subcontractors, or others involved in providing WAP services. Grantees have the responsibility to ensure Subgrantees resolve all client complaints, including applicant denials, project deferrals, and work quality issues. If complaints cannot be resolved at the Subgrantee level, Grantees must have procedures to resolve escalated disputes. Mediation and arbitration and/or a state appeal process must be listed as options if internal procedures fail to remedy the complaint.

V.11 Investigating Allegations of Fraud, Waste and Abuse

Grantees must provide as an attachment in the SF-424 a copy of the program's (or their department's) procedures for investigating allegations of fraud, waste, and abuse. Please include roles and responsibilities for the investigation. Procedures must also include compliance with [200.113 Mandatory Disclosures](#) and how the Grantee will report back to DOE.