

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006156		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Kentucky Housing Corporation 1231 Louisville Road Frankfort, KY 40601		4. Program/Project Start Date 07/01/2015	5. Completion Date 06/30/2016

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. PY15 Allocation	81.042	\$ 0.00		\$ 3,814,133.00		\$ 3,814,133.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,814,133.00	\$ 0.00	\$ 3,814,133.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 43,598.35	\$ 0.00	\$ 169,227.71	\$ 0.00	\$ 212,826.06
b. Benefits	\$ 27,593.39	\$ 0.00	\$ 107,104.22	\$ 0.00	\$ 134,697.61
c. Travel	\$ 7,200.00	\$ 0.00	\$ 28,283.07	\$ 0.00	\$ 35,483.07
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 840.80	\$ 0.00	\$ 680.00	\$ 0.00	\$ 1,520.80
f. Contract	\$ 20,000.00	\$ 190,706.65	\$ 10,000.00	\$ 300,000.00	\$ 3,291,447.35
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 91,474.11	\$ 0.00	\$ 46,684.00	\$ 0.00	\$ 138,158.11
i. Total Direct Charges	\$ 190,706.65	\$ 190,706.65	\$ 361,979.00	\$ 300,000.00	\$ 3,814,133.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 190,706.65	\$ 190,706.65	\$ 361,979.00	\$ 300,000.00	\$ 3,814,133.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,814,133.00	\$ 0.00	\$ 3,814,133.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) VEHICLES AND EQUIPMENT	(4) LIABILITY INSURANCE	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 212,826.06
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 134,697.61
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 35,483.07
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,520.80
f. Contract	\$ 2,040,919.92	\$ 489,820.78	\$ 0.00	\$ 150,000.00	\$ 3,291,447.35
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 138,158.11
i. Total Direct Charges	\$ 2,040,919.92	\$ 489,820.78	\$ 0.00	\$ 150,000.00	\$ 3,814,133.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 2,040,919.92	\$ 489,820.78	\$ 0.00	\$ 150,000.00	\$ 3,814,133.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,814,133.00	\$ 0.00	\$ 3,814,133.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 212,826.06
b. Benefits	\$ 0.00				\$ 134,697.61
c. Travel	\$ 0.00				\$ 35,483.07
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 1,520.80
f. Contract	\$ 90,000.00				\$ 3,291,447.35
g. Construction	\$ 0.00				\$ 0.00
h. Other	\$ 0.00				\$ 138,158.11
i. Total Direct Charges	\$ 90,000.00				\$ 3,814,133.00
j. Indirect	\$ 0.00				\$ 0.00
k. Totals	\$ 90,000.00				\$ 3,814,133.00
7. Program Income	\$ 0.00				\$ 0.00

U.S. DEPARTMENT OF ENERGY



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: Kentucky Housing Corporation  
Award number: EE0006156

Budget period: 07/01/2015 - 06/30/2016

1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

<u>Position</u>	<u>Description of Duties of Professionals</u>
1 HCA Back Up Staff	Responsible for reviewing and reconciling monthly invoice documentation from service providers, review section 106 forms and track monthly expenditures and production goals. Review and approve training requests
3 Weatherization Trainers/Monitors	Performs monitoring of agencies which includes an on-site inspection of a representative sample of completed dwellings as well as file review of the dwellings inspected; researches and conducts related weatherization training either in a classroom setting or at individual agencies; provides technical assistance to agencies; represents the State on Demand Side Management (DSM) collaborative; researches new initiatives; performs reviews of agency plans and budgets; performs monthly review of agency expenditures, contractual compliance. Weatherization and Health and Safety averages; assists in the development of program forms; reviews and revises Weatherization Manual.
1 Assistant Director, Design and Construction Review (T&TA)	Performs personnel functions: verifying time sheets, approving travel, completing annual evaluations. and so forth. Oversees programmatic activities such as submission of grant application, federal reports, regulation revisions, contract reviews and compliance, correspondences and other communications pertinent to the program. Insures timely submission of plans and reports to funding sources and other related offices.
1 Managing Director of Housing Contract Administration	Oversees programmatic activities such as submission of grant application, federal reports, regulation revisions, contract reviews and compliance, correspondences and other communications pertinent to the program. Insures timely submission of plans and reports to funding sources and other related offices.
1 Compliance Officer	Perform overall financial and contractual monitoring for CAK as well as each of the 23 CAA. This function will occur at least once a year or more if determined necessary.
1 Manager, Programs Administration HCA	Responsible for general oversight and management of the weatherization program and HCA weatherization program staff. Provides technical assistance to all service providers and assist in the preparation of necessary reports needed to administer the weatherization program.
1 HCA Reporting Staff	Reviews and reconciles internal administrative costs associated with weatherization program. Prepares monthly administrative billing statements. Assist in the reconciliation of DOE monthly and quarterly reports.
1 HCA Lead Staff	Responsible for reviewing and reconciling monthly invoice documentation from service providers, review section 106 forms and track monthly expenditures and production goals. Review and approve training requests

1 Weatherization Senior Monitor

Performs monitoring of agencies which includes an on-site inspection of a representative sample of completed dwellings as well as file review of the dwellings inspected; researches and conducts related weatherization training either in a classroom setting or at individual agencies; provides technical assistance to agencies; represents the State on Demand Side Management (DSM) collaborative; researches new initiatives; performs reviews of agency plans and budgets; performs monthly review of agency expenditures, contractual compliance. Weatherization and Health and Safety averages; assists in the development of program forms; reviews and revises Weatherization Manual.

1 Assistant Director, Design and Construction Review (ADMIN)

Performs personnel functions: verifying time sheets, approving travel, completing annual evaluations, and so forth. Oversees programmatic activities such as submission of grant application, federal reports, regulation revisions, contract reviews and compliance, correspondences and other communications pertinent to the program. Insures timely submission of plans and reports to funding sources and other related offices.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
1 HCA Back Up Staff		31.7660 % FT	
3 Weatherization Trainers/Monitors		100.0000 % FT	
1 Assistant Director, Design and Construction Review (T&TA)		35.0000 % FT	
1 Managing Director of Housing Contract Administration		3.9710 % FT	
1 Compliance Officer		0.0000 % FT	
1 Manager, Programs Administration HCA		3.9710 % FT	
1 HCA Reporting Staff		3.9710 % FT	
1 HCA Lead Staff		39.7080 % FT	
1 Weatherization Senior Monitor		0.0000 % FT	
1 Assistant Director, Design and Construction Review (ADMIN)		5.9560 % FT	
		Direct Pay Total	\$212,826.24

2. **FRINGE BENEFITS**

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

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

FICA 7.38%  
 Health 16.25%  
 Life, AD&D 0.60%  
 KERS match 38.77%  
 Unemployment 0.29%  
 63.29%  
 As of 02/27/2015

Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
1 HCA Back Up Staff		63.2900 %	

3 Weatherization Trainers/Monitors	63.2900 %	
1 Assistant Director, Design and Construction Review (T&TA)	63.2900 %	
1 Managing Director of Housing Contract Administration	63.2900 %	
1 Compliance Officer	63.2900 %	
1 Manager, Programs Administration HCA	63.2900 %	
1 HCA Reporting Staff	63.2900 %	
1 HCA Lead Staff	63.2900 %	
1 Weatherization Senior Monitor	63.2900 %	
1 Assistant Director, Design and Construction Review (ADMIN)	63.2900 %	
	<b>Fringe Benefits Total</b>	<b>\$134,697.73</b>

**3. TRAVEL**

a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
Travel budget for training and technical assistance activities provided to four weatherization staff.	13	\$1,400.01	\$18,200.13
In state travel budget for program and administrative staff oversight activities provided to the weatherization network.	12	\$200.00	\$2,400.00
Travel budget for in-state trips to monitor, provide on-site technical assistance, regional training to the service providers.	25	\$595.32	\$14,883.00
		<b>Travel Total</b>	<b>\$35,483.13</b>

b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

All cost are based on KHC travel policies and past trips of similar nature.

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

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

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
Equipment and Vehicles	\$0.00	0	\$0.00	
			<b>\$0.00</b>	

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

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

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

<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
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General Office Supplies	\$1,520.80	General office supplies and other needed supplies, small equipment, such as cameras, fax, cell phones, etc. Also, materials, cleaning supplies, tissue, paper towels, etc. are needed at the training center when training classes are held and to keep the center adequately maintained.
Tools and Equipment	\$0.00	Tools needed to provide weatherization monitoring and technical assistance.
Materials and Supplies Total	\$1,520.80	

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

Cost for the listed supplies are based on vendor web prices and on prior purchases.

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

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Community Action of Kentucky, Inc. (CAK) - Administration	\$20,000.00	KHC will contract with CAK which shall sub-contract with the 23 community action agencies to assist in the operation of the weatherization program. KHC will retain all administrative oversight for the program, but CAK will assist KHC staff in program administration and technical assistance when necessary. Performance activities as approved or directed by KHC will be outlined in the administrative agreement.
Vehicles/Equipment	\$0.00	To be reserved for subgrantee or grantee as a contingency for unanticipated replacement of equipment or vehicles/repairs as required. The grantee will have administrative oversight and reimbursement approval of vehicles and equipment over \$5,000 to the sub-grantees. These funds will be modified into program dollars if used late in the program year.
Financial Audits Information can be found on the Sub-grantee Information Form, DOE F540.5 pages 22-31	\$90,000.00	Financial Audits for Sub-Grantees.
Sub-Grantee Insurances	\$150,000.00	Insurances for Sub-Grantees (Liability and Pollution) - Liability Insurance and Pollution Insurance premiums
Sub-Grantee T&TA	\$300,000.00	T&TA for Sub-grantees.
Sub-Grantee Program Operation	\$2,040,919.92	Program Operations for Sub-grantees
Community Action of Kentucky, Inc. (CAK) T/TA	\$10,000.00	Provide technical assistance to the sub-grantee network when requested by KHC and assist subgrantees in utilizing the CastiNet system for data input.
Sub-Grantee Health and Safety	\$489,820.78	Health and Safety for Sub-Grantees. WX funds to provide health and safety measures on eligible housing units.
Sub-Grantee Administration	\$190,706.65	Admin for Sub-grantees. KHC is not allowing additional admin. Sub-grantee is strictly 5%.
Contracts and Subgrants Total	\$3,291,447.35	

\*For example, Competitive, Historical, Quote, Catalog

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

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

<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
Rent for Training and Technical Assistance Training Center	\$46,684.00	Utilities, rent, and telecommunications costs associated with an off-site Weatherization Training Center.
Certifications, Recertifications, Licensures, CE Courses, as needed	\$0.00	Other training costs for the Weatherization Assistance Program staff to attend new and innovative training as it relates to weatherization, mold, lead and other health and safety approaches. To obtain certifications in speciality areas. To maintain current certifications or licenses in weatheriation speciality areas. BPI Certification for monitoring staff.
Other	\$70,586.26	Budget Allocation Contingencies
Membership dues, subscriptions for energy related publications, software, and other miscellaneous co	\$4,488.00	Dues for membership in advacy organizations, such as, National Association of State Community Services Programs (NASCSPP). Cost for posting legal ads in newspapers for notice of a public hearing. Obtain or maintain subscriptions for energy related publications and to purchase updated software. Other misc. cost associated with admin of program: postage, internet, etc.
Training Outreach	\$0.00	Funding to be used for enhancements of Technical Assistance and Training Outreach. It is our intent to build training props and purchase equipment to enhance our mobile home, attic and crawl space trainings.
Business Services	\$14,000.00	Contractor/Temps
Fiscal Audit for Weatherization Program	\$2,400.00	Estimated cost for an annual external fiscal audit/review required by KHC
Other Direct Costs Total	\$138,158.26	

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

Based on prior incurred expenses and prior experience. These items are for the benefit of the Weatherization Assistance Program only, and the costs are segregated to the WAP in our financial system and that each one is posted to a WAP account.

**8. INDIRECT COSTS**

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

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

Kentucky Housing Corporation is not requesting indirect costs for this award.

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

Name:

Phone Number: