

STATE OF ARIZONA

FY 2016

PY 2015

Weatherization Assistance Program STATE PLAN



GOVERNOR DOUG DUCEY

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**ARIZONA
WEATHERIZATION
CONTACT INFORMATION**

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ANNUAL FILE

IV.1 Sub-grantees

Arizona uses ten sub-grantees to perform Weatherization service throughout the state, excluding the Indian reservations, which are funded independently.

Community Action Human Resources Agency (CAHRA)

Mary Lou Rosales, Executive Director

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Phone: 520-466-1112, Fax: 520-466-0013

E-mail: mlrosales@cahrapinal.org

(Pinal County) CD 1,6,7,8

City of Phoenix, Neighborhood Services Department

Bruce Nelson, Program Manager

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(City of Phoenix) CD 3, 4

Gila County Office of Community Services

Malissa Buzan, Community Services Director, Housing Service Manager

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E-mail: mbuzan@co.gila.az.us

(Gila County) CD 1

Maricopa County Human Services Department, Community Development Division

Amy Jacobson, Assistant Director

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Phoenix, AZ 85004

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E-mail: JacobsonA@mail.maricopa.gov

Maricopa County, excluding City of Phoenix & City of Mesa) CD 2, 3, 4, 5, 7

A New Leaf Mesa Community Action Network (MesaCAN)

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(City of Mesa exclusively) CD 5, 6

Northern Arizona Council of Governments (NACOG)

Bob Baca, Operations Director

119 E Aspen, Flagstaff, AZ 86001

Phone: 928-774-3759, Fax: 928-774-3758

E-mail: bbaca@nacog.org

(Apache, Coconino, Navajo, Yavapai Counties) CD 1, 2

Pima County Community Development & Neighborhood Conservation

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2797 E Ajo Way, 3rd Floor, Tucson, AZ 85713

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(Rural Pima County) CD 7, 8

Southeastern Arizona Community Action Program (SEACAP)

Librado M. Ramirez, Executive Director

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(Graham, Greenlee, Cochise, Santa Cruz Counties) CD 1, 7, 8

Tucson Urban League (TUL)

Terisha Ellis, Housing Department Facilitator

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(City of Tucson, City of South Tucson) CD 8

Western Arizona Council of Governments (WACOG)

Jack Valentine, Program Manager Housing Programs/Weatherization

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(LaPaz, Mohave, Yuma Counties) CD 2, 7

IV.2 Production Schedule

Arizona allocation for PY15 is \$997,822. The sub-grantee allocations are calculated according to the past allocation method, which was developed in conjunction with the sub-grantees

Grantee	City	Estimated	
		PY15 Funds	Units
CAHRA	Eloy	\$39,550	4
City of Phoenix, Municipal Building	Phoenix	\$124,463	17
Gila County Community Action	Globe	\$30,547	4
Maricopa County Government	Phoenix	\$204,848	28
MesaCAN	Mesa	\$26,366	3
NACOG	Flagstaff	\$129,222	17
Pima County	Tucson	\$29,880	3
SEACAP	Safford	\$80,433	9
Tucson Urban League	Tucson	\$82,060	11
WACOG	Yuma	\$101,981	13
TOTALS		\$849,350	109

Units based on estimated program operations and an average cost per house \$5000

IV.3 Energy Savings

Production and Energy Savings

These are estimates for PY15

Total Units (excluding re-weatherized)	109
Re-weatherized Units	0

Method used to calculate energy savings: WAP algorithm: X other (describe below):

Estimated energy savings (Mbtus): $190 \times 30.5 \text{ MBTU} = 3324.5 \text{ MBTU} = 974.4 \text{ KW} = 33.2 \text{ Therms}$

IV.4 DOE-Funded leveraging Activities

The state does not utilize funds for leveraging activities. However, parallel programs are run through LIHEAP and utility funding.

IV.5 Policy Advisory Council

The state's Policy Advisory Council (PAC) is a collaboration of people from various organizations from around the state. They are from local utility companies, Nonprofits, and local governments. The following list of people is currently a member of the Policy Advisory Council:

Arizona Community Action Association -ACAA

Cynthia Zwick, Executive Director

2700 N 3rd Street, Ste. 3040

Phoenix, AZ 85004

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Arizona Public Service - APS

Jerry Mendoza, Account Executive

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Arizona Public Interest Research Group (AZ-PIRG)

Diane E. Brown, Executive Director

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Maricopa County Human Services Department, Community Development Division

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Maricopa County, excluding City of Phoenix & City of Mesa) CD 2, 3, 4, 5, 7

Foundation for Senior Living

Carrie Smith, Chief Operating Officer

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Gila County

Malissa Buzan, Community Action & Housing Services Manager
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Globe, AZ 85501
mbuzan@co.gila.az.us
928-402-8693 - Work

Northern Arizona Council of Governments (NACOG)

Bob Baca, Operations Director
119 E Aspen
Flagstaff, AZ 86001
bbaca@nacog.org
928-774-3759 Work

Salt River Project (SRP)

Bonnie Temme, Community Relations Program Manager
P.O. 52025
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Bonnie.temme@srpnet.com
602-236-9915 Work

Southwest Gas (SWG) Corporation

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Las Vegas, NV 89193-8510
Celine.apo@swgas.com
702-876-7149 Work

UNS Energy Services/Tucson Electric Power (TEP)

Jessica Vega, Contract Administrator
PO Box 711 (HQW505) Tucson, AZ 85702
JVega@tep.com
520-991-5774 Work

IV.6 Hearing and Transcripts

Public Hearing

The date, time, and location of the Public Hearing are provided to sub-grantees and interested parties through email, and website posting on Arizona Department of Administration (ADOA) and at www.azenergy.gov. The public hearing notification will be at least ten calendar days prior to the date of the Public Hearing scheduled for April 28, 2015 at 10:00 a.m.

IV.7 Miscellaneous

Use of Weatherization Funds for Renewable Energy Systems

10 CFR §440.18 (Allowable Expenditures) incorporates the renewable energy system provisions and specifies a ceiling of \$3,000 per dwelling for labor, weatherization materials, and related matters. The current adjusted value is \$3,545 for renewable energy systems with a SIR greater than 1.

Because the total average cost per unit exceeds the renewable measures allowance, the major effects of the regulation are to provide criteria and a procedure for integrating renewables into the WAP, and to establish a process for evaluating petitions to use new or innovative renewable energy systems in the WAP.

Section 440.21(c) (1) specifies performance and quality standards criteria for renewable energy systems. Paragraph (c) (2) establishes a procedure for submission and action on petitions by manufacturers requesting the Secretary of Energy to certify a new technology or system as an eligible renewable energy system.

Approved renewable energy systems will be listed in Appendix A of Part 440, Standards for Weatherization Materials.

Carry over Rule

*****This rule only applies if DOE allows the Grantee to carry over any remaining funds from the previous program year.**

The Grantee concurs with DOE that funds allocated for a specific year should be spent in that year. Grantee will adopt a policy if any agency that does not spend out at least 90% of their allocated funds for a given year, that agency will not be allowed to carry over any remaining funds. All agencies that spend out 90% or better of their allocated funds will be allowed to carry over any remaining allocated funds.

The remaining funds from the agencies that did not meet the 90% or better mark, will be pooled together and reallocated. The funds will be split equally among the agencies that did meet the 90% expenditure requirement.

MASTER FILE

V.1 Eligibility

Every dwelling weatherized must meet both client eligibility and the building eligibility requirements.

Arizona definition of low-income:

Household Income is at or below 200% of the federal poverty level determined in accordance with criteria established by the Office of the Secretary, U.S. Department of Health and Human Services.

V1.1 Approach to determine client eligibility

- The sub-grantees are to follow the state guidelines for Low-Income Home Energy Assistance Program (LIHEAP) Policy Manual requirements for income eligibility up to 200% of Federal Poverty Guidelines and allowable documents as proof of income as it pertains to the Weatherization program, copies of the manuals are provided by Arizona Department of Economic security (DES).
- Sub-grantee should also reference WPN 15-3 in WAPTAC
- Each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The file must also contain evidence provided by the sub-grantee that the client is eligible to receive WAP services. This evidence may include, but is not limited to, a memorandum from a third party certification office stipulating the income levels of the family or source documentation for each income source listed on the application. These documents can be stored electronically or retained in hard copy for each client.
- For HUD-DOE Multi-Family eligibility see Multi Family section of plan

Qualified Aliens Receiving Weatherization Benefits

Grantees are directed and encouraged to review guidance provided by Health and Human Services (HHS) under LIHEAP. This guidance can be found by going to <http://www.aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml#sec1>.

HHS Information Memorandum LIHEAP-IM-25 dated August 28, 1997, states that all qualified aliens, regardless of when they entered the United States, continue to be eligible to receive assistance and services under the Low-Income Home Energy Assistance Program (LIHEAP) if they meet other program requirements.

To eliminate any possible contradiction of eligibility for Weatherization services at the state and local level for qualified aliens, the definition adopted by HHS will also apply to the DOE WAP.

HHS issued Information Memorandum LIHEAP-IM-98-25 dated August 6, 1998, outlining procedures for LIHEAP and Weatherization grantees serving non-qualified aliens to implement new status verification requirements.

To ensure continuity between LIHEAP and WAP for the many sub-grantees operating both programs, the DOE WAP will follow the interpretation as adopted by HHS.

V1.2 Approach to determine building eligibility

Procedures to determine that units weatherized have eligibility documentation

Sub-grantees must:

- Verify that the home's occupants are income qualified for WAP
- Verify that the home has not been weatherized before by filling out the state's re-weatherization check list which includes the following:
 - The state database
 - The past files
 - The past home's tracking methods
 - Visual inspection of unit
 - Any other means at their disposal
- Perform a site inspection of the unit to make sure the condition of the home is safe to perform weatherization work

The Grantee will verify by:

- Performing 100 percent desk top review of jobs submitted to the state's database, which helps verify income levels
- During field inspections, check that the proper documentation is in the files for income verification and that the client meets income eligibility
- Check that the state re-weatherization checklist document is in the file and signed
- Inspect the home to make sure that it was in safe condition to work in

Re-weatherization

The Recovery Act amended the DOE Weatherization Re-weatherization dates and now allows grantees and sub-grantees to weatherize homes previously weatherized from September 30, 1994, and earlier. This provision gives grantees the flexibility to revisit those homes weatherized prior to 1994 that may not have received the full complement of weatherization services, including the use of an advanced energy audit or addressing health and safety concerns. DOE reminds grantees and sub-grantees that in selecting previously weatherized homes to revisit, there still remain more than 34 million federally eligible households that have received no weatherization services to date. Under Energy Crisis and Disaster Relief of this guidance, it addresses Disaster Planning and Relief and references DOE-issued Weatherization Program Notice 12-7, which allows additional work to be done on homes due to natural

disasters. Please refer to these sections and follow appropriate procedures if the grantee wishes to serve homes located in disaster areas.

Use of WAP Funds for Add-on/Call-back Work

Grantees and sub-grantees may not charge the WAP for additional work on homes that have already been reported to DOE as completed, weatherized units. WPN 11-03 provides specific guidance on this type of activity.

Note: Under no circumstances can any of these activities be covered under the re-weatherization provisions of 10 CFR §440.18(e) (2) (iii).

Eligible Structures

Eligible structures are deemed to be fit for weatherization if they have income qualifying occupants. Also, the structure must be safe for the occupants; sub-grantee's crews and/or contractors to work in without concern for their health and safety.

Sub-grantees should exercise caution in dealing with non-traditional type dwelling units such as shelters, and apartments over businesses, etc., to ensure they meet program regulations on whether the unit is, in fact, eligible. Consideration on weatherizing these types of units should be coordinated with the Grantee.

The weatherization of non-stationary campers, trailers and RV's that have an eligible applicant/s is not allowed.

Rental Requirements

*****All sub-grantees are required to weatherize single family and multi-family rental housing.**

The State of Arizona has established a policy to ensure that sub-grantees weatherizing rental units determine financial eligibility and obtain written permission of the owner or his agent. In multiple unit buildings the state ensures 66 percent (50 percent for duplexes or four unit buildings) of the building to be eligible units. The State's policy also ensures that the benefits of weatherization accrue primarily to the tenant, including units where the tenants pay for their energy through their rent. The state recognizes that it may weatherize shelters under conditions set forth in CFR 440.22.

State policy for rental units states that for a reasonable period of time, not less than twelve months, the tenant will not be subjected to rent increases unless those increases can be demonstrated to be related matter and conditions other than the weatherization measures performed. State policy also provides an avenue for complaint in such matters. Tenants and

landlords are informed in writing that no undue or excessive enhancement shall be provided to the rental unit or building by weatherization assistance, this is to include the installation of heating and air conditioning units, and appliances, as this is required by landlord pursuant to A.R.S 33-1324: <http://www.Arizonaleg.state.Arizona.us/ars/33/01324.htm>

If a multi-unit building is under an assisted or public housing program and is identified by the U.S. Department of Housing and Urban Development (HUD), and included on a list published by DOE, that building will meet certain income eligibility requirements, and will also satisfy one or both of the procedural requirements to protect against rent increases and undue or excessive enhancement of the weatherized building, as indicated by the list, under the Weatherization Assistance Program without the need for further evaluation or verification as stated in WPN 10-15- <http://www.waptac.org/Program-Guidance/2010002D2006-Program-Guidance-Documents.aspx>

Leased Dwelling Units

- No leased/rented dwelling unit shall be weatherized without first obtaining the written permission for the owner of the dwelling unit or the agent;
- The benefits of weatherization assistance shall accrue primarily to the low-income tenants;
- Rent shall not be raised because of the weatherization assistance provided by this grant; and
- No undue or excessive enhancement will occur to the value of the dwelling units. This is to include the installation of heating and air conditioning units, as this is required by the landlord pursuant to A.R.S 33-1324: <http://www.Arizonaleg.state.Arizona.us/ars/33/01324.htm>
- Signed statements will be obtained from the owners or their agents certifying that rents will not be raised because of work done as a result of this assistance.
- All documentation shall remain the property of Grantee and in the event of program closure, either by Grantee or the sub-grantee, such files shall revert to Grantee. Copies of these documents need to be placed in each client file of the complex.

Note: Grantees and sub-grantees are reminded that the supporting documentation for applicants applying for weatherization that may be on a waiting list or for other reasons must have their eligibility documentation updated every 12 months from the date of the initial intake date.

Certain buildings containing rental units may comply with the income eligibility requirements when 50 percent of those dwelling units are eligible dwelling units rather than the established 66 percent identified in the regulation. (10 CFR§ 440.22(b) (2)). The buildings that are subject to the 50 percent threshold are duplexes, four-unit buildings, and certain eligible types of large multi-family buildings. In the final rule published on December 8, 2000, DOE provided guidance

on what types of large multi-family buildings may be subject to the 50 percent threshold. (65 Fed. Reg. 77210, Dec. 8, 2000.)

DOE indicated that “certain eligible types of large multi-family buildings” are those buildings for which an investment of DOE funds would result in a significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell. (Id. at 77215) By providing this flexibility, sub-grantees are better able to select the most cost-effective investments and enhance their partnership efforts in attracting leveraged funds and/or landlord contributions. This flexibility does not apply to any other type of multifamily unit. Questions on whether a building meets the criteria should be directed to the DOE Project Officer.

The definition of “significant energy improvement” is based on specific criteria for the building in question. This must be assessed using existing conditions to determine the threshold to achieve significant energy improvements. Grantees should consult with their DOE Project Officer if there are questions related to this threshold. Additional guidance is being considered by DOE to provide Grantees criteria for what constitutes “significant energy improvement.” As a reminder, when addressing multi-family units with DOE funds, multiply the total number of income-eligible units in the multi-family building by the current allowable per dwelling unit average cost to determine the amount of DOE funding available for weatherizing the building. While the amount of funding available for weatherizing a building is limited by the number of eligible units, the weatherization work can result in improvements to all units in the building, even those that are not eligible units. All units should be reported to DOE.

Note: Grantee and sub-grantee agencies should exercise caution when utilizing flexibility in this area. The key is the investment of DOE funds coupled with leveraged resources which result in significant energy savings. Absent this investment, lowering the eligibility to 50% may lead to disallowed costs. Sub-grantees who are uncertain on a given multi-family project should seek approval by the DOE Project Officer through their Grantee Weatherization Program Manager.

Deferrals

The decision to defer work in a dwelling is difficult, but necessary, in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. Note that sub grantees, including crews and contractors, are expected to pursue reasonable options on behalf of the client, including referrals, and to use good judgment in dealing with difficult situations.

When sub-grantees have determined a home to be deferred, **they will:**

- Inform the client in writing as to why the dwelling cannot be weatherized. If there are conditions that the client must correct before service is provided, those conditions must also be stated in writing.
- Refer the client to any alternate program such as home rehab, if one is available in the area.
- Clearly indicate in the client file why the dwelling was given "deferral" status.
- Document all referrals to other programs or services in the client file.
- Provide the client any information prescribed in the Health and Safety section.

Deferral condition may include, but not limited to:

- The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
- The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
- The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
- The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- Moisture problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
- Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
- The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
- The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
- In the judgment of the energy auditor, any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the condition is corrected.

Each sub-grantee is to have an appeal process in place if any client is denied services, rent is increased on a weatherized rental property or other concerns or issues about WAP. The process must be given to the client in writing, at the time of intake. This process will be verified during fiscal monitoring of the sub-grantees.

V1.3 Definition of Children

Any person living in the home 17 years of age or younger.

V1.4 Approach with Tribal Organizations

Currently the Navajo Nation and ITCA receive direct funding for weatherization from the U.S. Department of Energy. The Low-income members of an Indian Tribe will receive benefits

equivalent to the assistance provided to other low-income persons within the State of Arizona. There will be no concerns of discrimination in benefits because the grantee and the applicant are members of an Indian Tribe.

V.2 Selection of Areas to be served

Arizona utilizes 10 local Weatherization agencies to fully implement the State Plan and provide services to the eligible population of Arizona, excluding the Tribal Nations. Project service areas are historical in nature, originating many years ago at the time of community action agency establishment in Arizona. Service area boundaries are typically drawn along county lines or tribal land boundary lines.

Individual sub-grantees are selected on the basis of their:

- Experience and performance in Weatherization or housing renovation activities;
- Experience in assisting low-income persons in the area to be served; and
- Capacity to undertake a timely and effective Weatherization Program.
- Preference is given to any Community Action Agency or other public or non-profit entity, which has, or is currently administering an effective program under 10 CFR 440.15 or under Title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to the following:
 - The extent to which the past or current program achieved or is achieving Weatherization goals in a timely fashion;
 - The quality of the work performed by the sub-grantee;
 - The number, qualifications and experience of staff members of the sub-grantee
- Any new or additional sub-grantee shall be selected at a public hearing and must meet the above criteria

All sub-grantees are agencies which meet the requirements of 10 CFR 440.15 and which have been selected based upon on-site inspections made by Grantee's staff, as well as on transcripts of the public hearing which affirm that there are no public objections to any of the sub-grantees selected.

The ten sub-grantees chosen to perform weatherization work can be located in the annual file under sub-grantees.

V.3 Priorities

- Elderly
- Handicapped
- Families with children

- **Weatherization Waiting List** - An actual waiting list to determine who is next to receive weatherization services must be developed with priority given to: elderly (60 years of age and older), disabled, and households with children. The criteria used for determining applicant priority must be in writing and on file with the sub-grantee.

V.4 Climatic Conditions

The climate conditions for Arizona range from low dry arid desert to mountain/alpine cold. The summer months of the desert from June through September will bring a dry heat ranging from 90–120 °F (32–49 °C), with occasional high temperatures exceeding 125 °F (52 °C) having been observed. The winter months of the plateau and High Mountain/alpine range of the state, extremely cold temperatures are not unknown; cold air systems from the northern states and Canada occasionally push into the state, bringing temperatures below 0 °F (–18 °C) to the northern parts of the state.

Note: Arizona WAP will use the 2009 IECC climate zones. This will clearly define the different climate zone regions and reduce any confusion regarding location and minimize any conflicts that may arise in the event that local municipalities adopt future building codes. For climate zone map, please reference: <https://energycode.pnl.gov/EnergyCodeReqs/?state=Arizona>

V.5 Type of weatherization work to be done

Achieving an energy-efficient house is really a question of doing a few things very well and understanding that the house is a system, with all components of the house working together. The following are the areas we concentrate on:

- Getting the home tight (air sealing)
- Insulating the home right (focus on insulation performance, not just R-value)
- Dealing with sunlight (shade screens and reflective coatings)
- Correctly installing efficient equipment (duct sealing, pressure balanced, air flow, sizing and charge)
- Base loads (refrigerators, CFL)

V5.1 Technical Guides and Materials

Grantee, with the help of the SouthWest Building Science Training Center (SWBSTC) has developed Arizona’s Weatherization Field Guide to be in compliance with WPN15-4. The field guide will be distributed to all sub-grantees by June 30, 2015. They will receive a hard copy, digital copy and a web address where the guide can be accessed on-line. Upon receiving the field guide, the sub-grantee will have to sign a document that states they received it and they

will be held accountable to make sure all weatherization work meets or exceeds the standards set forth. This document must be put in their file and updated annually. The field guide will be given to the sub-grantees in one of two ways; either by a group meeting or by individual sub-grantee meetings, depending on the staffing levels with Grantee.

Beginning in program year 15 and moving forward, Grantee will ensure that sub-grantees are providing their contractors with the required information on their expectation of work quality, and program guidance by including the following language in their contract:

- As a sub-grantee, it is required that on an annual basis your contractors are informed of the standards they will be held to, set forth by the Arizona Weatherization field guide and the Standard Work Specifications. It must be signed off by an authorized employee of the company
- All energy audits performed by the sub-grantee or it's contractor will meet or exceed the requirements set forth in WPN 13-5

During fiscal monitoring, Grantee will ensure that the language and required signatures for the field guide are in the sub-grantee contractor files.

Consistent with the approved energy audit or priority list all materials used for weatherization must meet 10 CFR 440, Appendix A to Part 440—Standards for Weatherization Materials. This can be found at <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr;sid=23fe3d3cfcc461955f6c730af864c7c7;rgn=div5;view=text;node=10%3A3.0.1.4.24;idno=10;cc=ecfr#10:3.0.1.4.24.0.85.22.50>

V5.2 Energy Audit Procedure

The WAP Energy Audit Procedure must be used by all sub-grantees to gather, record and analyze data on structures. This data must be used to deliver weatherization materials/measures in a fashion that protects the health and safety of the client, increases the durability of the structure, increases the comfort of the client and reduces the energy cost to the client in a cost effective manner.

The following audit activities must be completed on all homes utilizing WAP funds.

- A site audit is to be completed, that meets WPN 13-5 requirements, and records all of the relevant data on the structure that is needed to perform cost effectiveness tests
- The Cost Effectiveness Procedure must be followed to determine cost effectiveness of potential weatherization materials/measures
- The Pressure Diagnostic Procedure must be completed and the findings documented following the Reporting Procedures

- A health and safety audit of the structure must be completed and the findings documented following the Reporting Procedures
- A final inspection of the structure must be completed and findings documented following the Final Inspection Procedures

If working in an area or municipality where code exceeds items on the priority list and a permit was pulled, code should be followed.

Priority List Single Family homes

Assumptions for Block Houses:

Pre and Post blower door = 2000 CFM @ 50 Pa

Uninsulated block walls U-value = 0.371

1000 Square Feet

15% Glazing

Single Pane, aluminum Windows U = 1.13 SHGC = 0.70

Arizona Block Housing Priority List –

Zones 2 (Yuma, Phoenix)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$45
Gas	\$25
Electric Heat Pump	\$25

2. Attic insulation to R-30

- a. If R-19 or less existing

3. CFLs If existing lighting is incandescent bulb

- a. in use for 2 hours per day or more
- b. Limit of 8 CFLs per client

4. Solar Screens

- a. Not to exceed \$5.00 per square foot

5. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$400
Electric Heat Pump	\$340

6. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

7. Install heat pump water heater

- a. If there is an existing electric water heater
- b. Cost not to exceed \$1900
- c. Existing System $EF \leq 0.90$
- d. $EF \geq 2.4$
- e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
- f. 4 or more residents

Arizona Block Housing Priority List – Zone 3 (Safford, Sierra Vista)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$70
Gas	\$45
Electric Heat Pump	\$45

2. Attic insulation to R-30

- a. If R-19 or less existing

3. CFLs

- a. If existing lighting is incandescent bulb in use for 2 hours per day or more
- b. Limit of 8 CFLs per client

4. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$425
Electric Heat Pump	\$400

5. Install heat pump water heater

- a. If there is an existing electric water heater
- b. Cost not to exceed \$1900
- c. Existing System $EF \leq 0.90$
- d. $EF \geq 2.4$
- e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
- f. 4 or more residents

6. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

7. Install low-e storm windows on East, West and North facing windows.
- If existing windows are single panes, aluminum windows
 - Emissivity <+0.22
 - Cost of storm windows not to exceed \$15.00/ square foot

Arizona Block Housing Priority List – Zones 4 and 5 (Prescott, Flagstaff)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$125
Gas	\$70
Electric Heat Pump	\$70

2. Attic insulation to R-38
- If R-19 or less existing
3. CFLs
- If existing lighting is incandescent bulb in use for 2 hours per day or more
 - Limit of 8 CFLs per client

4. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$425
Electric Heat Pump	\$425

5. Install heat pump water heater
 - a. If there is an existing electric water heater
 - b. Cost not to exceed \$1900
 - c. Existing System $EF \leq 0.90$
 - d. $EF \geq 2.4$
 - e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
 - f. 4 or more residents

6. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

7. Install low-e storm windows on East, West and North facing windows.
 - a. If existing windows are single pane, aluminum windows
 - b. Emissivity $< +0.22$
 - c. Cost of storm windows not to exceed \$15.00/ square foot

Assumptions for Frame Built Houses:

1500 Square Feet

No attic insulation

No wall insulation (uninsulated 2X4 stud wall)

Windows starting at $U=0.90$ SHGC = 0.65

Windows are 15% of wall surface area

Pre and Post blower door = 2000 CFM @ 50 Pa

Arizona Frame Housing Priority List – Zones 2(Yuma, Phoenix)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$45
Gas	\$25
Electric Heat Pump	\$25

2. Attic Insulation to R-30

- a. If R-19 or less in attic

3. CFLs

- a. If existing lighting is incandescent bulb in use for 2 hours per day or more
- b. Limit of 8 CFLs per client

4. Solar Screen

- a. Not to exceed \$5.00 per square foot

5. Dense Pack Side Wall Insulation

- a. Wall insulation not to exceed \$2.50 per square foot

6. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$380
Electric Heat Pump	\$370

7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install heat pump water heater
 - a. If there is an existing electric water heater
 - b. Cost not to exceed \$1900
 - c. Existing System $EF \leq 0.90$
 - d. $EF \geq 2.4$
 - e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
 - f. 4 or more residents

Arizona Frame Housing Priority List – Zones 3 (Safford, Sierra Vista)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$75
Gas	\$45
Electric Heat Pump	\$45

2. Attic Insulation to R-30

- a. If R-19 or less in attic

3. Dense Pack Side Wall Insulation

- a. Not to exceed \$2.50 per square foot

4. CFLs

- a. If existing lighting is incandescent bulb in use for 2 hours per day or more
- b. Limit of 8 CFLs per client

5. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$425
Electric Heat Pump	\$375

6. Install heat pump water heater

- a. If there is an existing electric water heater
- b. Cost not to exceed \$1900
- c. Existing System $EF \leq 0.90$
- d. $EF \geq 2.4$
- e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
- f. 4 or more residents

7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install low-e storm windows on East, West and North facing windows.
- If existing windows are single pane, aluminum windows.
 - Emissivity <+0.22
 - Cost of storm windows not to exceed \$15.00/ square foot

Arizona Frame Housing Priority List – Zones 4 and 5 (Prescott, Flagstaff)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Propane	\$120
Gas	\$70
Electric Heat Pump	\$70

- Attic Insulation to R-38
 - If R-19 or less in attic
- Dense Pack Side Wall Insulation
 - Not to exceed \$2.50 per square foot
- CFLs
 - If existing lighting is incandescent bulb in use for 2 hours per day or more
 - Limit of 8 CFLs per client

5. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with AC	\$425
Electric Heat Pump	\$425

6. Install heat pump water heater

- a. If there is an existing electric water heater
- b. Cost not to exceed \$1900
- c. Existing System $EF \leq 0.90$
- d. $EF \geq 2.4$
- e. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
- f. 4 or more residents

7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install low-e storm windows on East, West and North facing windows.

- a. If existing windows are single pane, aluminum windows
- b. Emissivity $< +0.22$
- c. Cost of storm windows not to exceed \$15.00/ square foot

Mobile Home Priority Lists

Mobile Home Assumptions:

Gas Price: \$1.19/Therm (From Southwest Gas Website)

Electricity Price: \$0.11/kWh (EIA)

Propane Price: \$2.60/gal.

Existing Aluminum Window: U = 1.13 SHGC = 0.80

Replacement Window: U = 0.30 SHGC = 0.30

Existing Component Insulation:

Ceiling Insulation: 1 inch of fiberglass (assembly R = 4.6)

Alternate Ceiling Configuration: Assumes R-19 has been added to roof through rehab

Belly Insulation: Wings: 1 inch rigid board

Center Cavity: 1 inch fiberglass

Walls: 2 inches of fiberglass batt, degraded (assembly R= 7.4)

Zone 2 MH (Phoenix, Yuma)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Natural Gas and Propane with CAC	\$25
Electric Heat Pump	\$25

2. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with CAC	\$180
Electric Heat Pump	\$250

3. Mobile Home Roof Insulation

- a. If less than R-19
- b. Cool roof coating or sealant shall only be done in conjunction with roof insulation

4. Mobile Home Belly Insulation

- a. Repair belly pan and install insulation to fill cavities

- b. Not to exceed \$2.25/sf
5. CFLs
 - a. If existing lights are incandescent and on 2 hours or more a day
 - b. Limit of 8 CFLs per client
 6. Solar Screens
 - a. Cost not to exceed \$5.00/ square foot
 7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install heat pump water heater
 - a. If there is an existing electric water heater
 - b. Cost not to exceed \$1900
 - c. EF >= 2.4
 - d. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
 - e. 4 or more residents

Zone 3 MH (Safford, Sierra Vista)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Gas	\$45
Electric Heat Pump	\$45

2. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with CAC	\$230
Electric Heat Pump	\$275

3. Mobile Home Roof Insulation

- a. If less than R-19
- b. Cool roof coating or sealant shall only be done in conjunction with roof insulation

4. Mobile Home Belly Insulation

- a. Repair belly pan and install insulation to fill cavities
- b. Not to exceed \$2.25/sf

5. CFLs

- a. If existing lights are incandescent and on 2 hours or more a day
- b. Limit of 8 CFLs per client

6. Install heat pump water heater

- a. If there is an existing electric water heater
- b. Cost not to exceed \$1900
- c. $EF \geq 2.4$
- d. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
- e. 4 or more residents

7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install low-e storm windows on the East, West and North facing windows.
- If existing windows are single pane, aluminum windows
 - Emissivity ≤ 0.22
 - Cost of storm windows not to exceed \$15.00/ square foot

Zone 4 & 5 MH (Prescott, Flagstaff)

1. Air Sealing

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction (\$)
Natural Gas and Propane with CAC	\$70
Electric Heat Pump	\$70

2. Duct Sealing and Insulation

Primary Heating Type	Maximum Cost of 100 CFM50 Reduction in duct leakage (\$)
Natural Gas and Propane with CAC	\$425

Electric Heat Pump	\$425
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3. Mobile Home Roof Insulation
 - a. If less than R-19
 - b. Cool roof coating or sealant shall only be done in conjunction with roof insulation

4. Mobile Home Belly Insulation
 - a. Repair belly pan and install insulation to fill cavities
 - b. Not to exceed \$2.25/sf

5. CFLs
 - a. If existing lights are incandescent and on 2 hours or more a day
 - b. Limit of 8 CFLs per client

6. Install heat pump water heater
 - a. If there is an existing electric water heater
 - b. Cost not to exceed \$1700
 - c. EF \geq 2.4
 - d. Dwelling must not contain an electric resistance furnace if water heater is to be put into conditioned space
 - e. 4 or more residents

7. Refrigerator Replacement

Annual kWh/yr Existing Unit	Annual kWh/yr of New Refrigerator		
	400 kWh/yr	500 kWh/yr	600 kWh/yr
800	\$525	\$393	\$262
850	\$590	\$459	\$328
900	\$656	\$525	\$393
950	\$722	\$590	\$459
1000	\$787	\$656	\$525
1100	\$919	\$787	\$656
1200+	\$1,050	\$919	\$787

8. Install low-e storm windows on the East, West and North facing windows.
 - a. If existing windows are single pane, aluminum windows
 - b. Emissivity \leq 0.22
 - c. Cost of storm windows not to exceed \$15.00/ square foot

A site specific computer energy model is required if:

- There are potential cost-effective energy upgrades to the house that are not listed on the priority list
- The home being weatherized does not meet the assumptions square footage + or – 50 percent
- There are not sufficient funds to complete all the measures; including energy related health and safety measures and other energy related repairs
- Energy related incidental repairs of more than \$100 are included with the energy upgrades

Fuel swapping as a cost effective measure, see below

It is expected that if a site specific computer energy model is conducted, that the measures listed for the respective climate zone and building type are modeled with any additional measures and that the savings-to-investment report is created ranking all measures by SIR from greatest return to lowest.

As the Grantee updates to the newest REM versions, communication will be sent to the agencies to flow down update requirements.

Fuel Switching

WAP does not permit the general practice of non-renewable fuel switching when replacing furnaces/appliances. However, DOE does allow the changing or converting of a furnace/appliance using one fuel source to another on a limited, case-by-case basis only. The sub grantee must submit a waiver, including REM showing it cost effective, to the OEP PRIOR TO any work being done and the waiver will be reviewed by OEP approval. Failure to submit a waiver prior to work will result in disallowed cost.

Multifamily Audit procedures

Multifamily: As defined by DOE, multifamily buildings are 5 or more units in a single building.

As multifamily units represent less than 20 percent of the state’s dwelling type weatherized, we are not required to and currently do not have a multifamily audit process approved by DOE. The state will treat multifamily units as any other dwelling seeking weatherization. If the units meet both the client eligibility and building eligibility, weatherization is permitted. The sub-grantee must follow all applicable state laws when dealing with rental properties and the requirements put forth on the property owners.

Because the state does not have an approved multifamily audit process, all multifamily projects MUST be submitted to DOE through the Grantee's Weatherization Manager and approved prior to any work being started. The following information is required in order for the project to be submitted to Grantee and sent to the DOE Project Officer for approval.

- Site plan of complex
- Pictures of complex
- Results of audit completed on the complex
- Scope of Work
- Budget consisting of:
 - Measure to be performed using DOE funds and cost
 - Measure to be performed using leverage funds and cost

V5.3 Final inspection

. A weatherized unit is a dwelling unit on which an approved energy audit or priority list has been applied and weatherization work has been completed. The use of DOE funds on a unit may include, but are not limited to: auditing, testing, measure installation, and inspections. Therefore, a dwelling unit meeting both the definition of a DOE weatherized unit and has DOE funds used directly on it may be included in the production numbers reported. In order to make sure these requirements are met, a final inspection must be done to all completed homes in order for them to be fully completed.

Note: Weatherization crews, including supervisory persons that also work to install weatherization measures on a unit, should not perform the final inspection of the unit. DOE recommends the final inspection be performed by a person(s) not directly associated with actual work that was performed on the unit. In the event that this provision cannot be met due to staffing levels or budget constraints, Grantee must be notified annually in writing why this provision cannot be met and the sub-grantee will be subjected to a higher percentage of site inspections by grantee.

A final inspection by sub-grantee:

- Shall be performed after all work is completed and final test out has been performed
- Shall be performed on all jobs before it can be counted as a completed job
- Must be completed by designated inspector who did not conduct the initial energy audit and was not directly involved with the weatherization measures/work completed on the job. Special consideration will be taken for sub-grantees with limited staff or long distance travel. Sub-grantees who would like to request a waiver of this requirement must submit a letter in writing to the GFR Weatherization Manager stating the circumstances why this requirement cannot be achieved and how they plan to address conducting the final inspection. This letter must be submitted annually at the time of contract signing. Sub-grantees that request the waiver and are approved, will be subject to a higher field audit percentage by the state

- Shall verify that all cost effective opportunities were completed, budget permitting
- Shall verify all invoices for the job are invoiced properly, nothing billed incorrect, or billed for services/work not performed
- Shall verify that the house characteristics reported are correct
- Shall include a review of the diagnostic result, both pressure and combustion safety, to verify that all applicable tests were completed
- Shall complete diagnostics on a minimum of ten percent of completed homes to compare with reported results
- Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in a safe and effective manner following program requirements
- Shall also include an analysis of the energy audit to ensure that it was completed in an efficient manner, that all areas of the audit have been addressed, and that the scope of work reflects a comprehensive energy audit

Once a sub-grantee has completed their final inspections, the job must be turned over to a qualified Quality Control Inspector (QCI) for a Quality Control Inspection. A qualified QCI will be someone who has met the qualifications to sit for the QCI exam and passed it. After the QCI has reviewed and passed the job, it may be reported as a completed home to Grantee and DOE.

A Quality Control Inspection:

- Shall be completed after all work by the sub-grantee is completed and their final inspection has been completed
- Shall be performed on all jobs before it can be counted as a completed job
- Shall include an analysis of the energy audit to ensure that it was completed in an efficient manner, that all areas of the audit have been addressed, and the scope of work reflects a comprehensive energy audit
- Shall verify reported diagnostic numbers are correct
- Shall verify that all cost effective opportunities were completed, budget permitting
- Shall verify all invoices for the job are invoiced properly, nothing billed incorrectly, or billed for services/work not performed
- Shall include a review of the diagnostic result, both pressure and combustion safety, to verify that all applicable tests were completed
- Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in a safe and effective manner, following program requirements
- Shall fill out the Grantee standardized Quality Control inspection form, sign it and provide a copy for the file, stating the unit is complete and ready to be reported to Grantee

There are two types of QCI

1. The independent QCI inspector is an inspector that had no involvement in the job except for the Quality Control Inspections. The individual did not perform the initial

audit or any work on the home. In this scenario the grantee must monitor a minimum of 5%.

2. The Independent Auditor/QCI is a person that performs the initial audit and develops the scope of work but is not involved with any of the work performed on the home. This same person performs the Quality Control Inspection. If this method is chosen by a sub-grantee, they will be subjected to more oversight by the state; the state will monitor 15 percent of the jobs.

After the above process is completed and there are no follow-up concerns, only then can the job be marked as completed and submitted to Grantee and DOE.

Lack of Compliance with QCI

If a sub-grantee is found to be in violation of the requirements of the Quality Control Inspection process, they will be formally written up. The write-up will:

1. List where the sub-grantee is failing at following the process.
2. List where the sub-grantee can find the guidance needed to help address the concern, if other than at the state level.
3. Request the sub-grantee create a plan of action in writing on how they will fix the concerns and forward the plan to the Grantee within 30 days of receiving the non-compliance letter.
4. Require that the corrective plan is followed and that the process is improved.
5. Require Grantee to:
 - a. Reject jobs and hold funding to sub-grantees if there were jobs that did not receive a quality controlled inspection by the sub-grantee.
 - b. Place the sub-grantee on a 90 day probation period upon discovery of non-compliance.
 - c. Increase the frequency and percentage of field audits of the sub-grantee until such time that the state feels that the problems/concerns have been addressed to their satisfaction.
 - d. Mandate the sub-grantee create a plan of action to fix concerns.

If Grantee does not receive the plan of action within the required time frame or the process is not fixed within the corrective plans time frame, the sub-grantee will no longer be allowed to facilitate the weatherization program for their service area.

However, if the sub-grantee approaches the Grantee for help, the Grantee will provide as much assistance as possible to the sub-grantee so they may address the Grantee's concerns. This request for assistance must be made by the sub-grantee in a reasonable time frame during the allowable follow-up period. (Refer to #3, above)

V.6 Weatherization Analysis of Effectiveness

Grantee has a process to track energy savings by using utility usage analysis which compares completed measure cost in a home to annual savings of utility usage. This is done by comparing the energy usage of randomly picked weatherized home utility usage at least 18 months prior and after weatherization work was completed. The before usage and after usage is subtracted to obtain the actual energy saving for the home. The savings is combined with the measure cost completed on the home, first by the total spent on the home and second by just energy related measures including audits. These two calculations allow the Grantee to achieve the two Saving-to-Investment Ratio (SIR) numbers below, one for total SIR including health and safety and the other for just energy related SIR. All funding sources used on the homes are calculated in the SIRs.

SIR calculations below were based on an analysis of 225 homes utilizing APS, TEP, Unisource Gas and Electric and Southwest Gas utility data. This analysis is ongoing, and new data will be updated to these values on a quarterly basis.

Results Summary

The combined SIR of all jobs reviewed to date for funds (LIHEAP, DOE, utility funding) spent on diagnostics, energy measures and health and safety measures is 1.04 SIR. The combined SIR of all jobs reviewed to date for funds spent on energy measures and diagnostics is 1.26. Please note that sub-grantees often run parallel programs using other funds such as CDBG to cover those items that cause deferrals.

The average energy savings per home reviewed was 2265 kWh of electricity and 42 therms of natural gas (gas therms average includes all electric homes).

Grantee will continue to track utility histories of completed jobs, the tracking of post-weatherization energy savings will give positive feedback to weatherization staff, highlighting measures or processes that provide high returns. Local operational changes can be based on this information to improve cost-effectiveness.

Grantee will develop a policy on how to rate sub-grantees by the following: their performance; ability to follow DOE requirements; Field and Fiscal Monitoring reports; if concerns are found, how fast they are addressed; and their billing practices. This performance review will be adopted and used on an annual basis to determine the sub-grantees effectiveness in WAP. Once the policy is developed it will be distributed to the agencies to set expectations and goals required for WAP.

V.7 Health and Safety

See health and safety Plan

V.8 Program Management

V8.1 Overview and Organization

The Arizona DOE Weatherization Program is located within the Arizona Department of Administration Office of Grants and Federal Resources (GFR). In addition to DOE funds for weatherization, GFR manages Weatherization funds awarded by DES LIHEAP Weatherization Program and Utility Demand-Side-Management (DSM) funds. Other programs operated by the GFR are the State Energy Program (SEP) Formula Grant, SEP Special Project for Water and Waste Water Treatment Plants.

Organization charts showing how the office is structured are attached to the SF-424.

Mission

The mission statement of the Weatherization Assistance Program is “To reduce energy costs for low-income families, particularly for the elderly, people with disabilities, families with children, and for families with a high energy burden by improving the energy efficiency of their homes while ensuring their health and safety.”

V8.2 Administrative Expenditure Limit

Arizona will allocate 5% to sub-grantees and retain 5% out of the allowable total of 10% for administration. An additional five percent (5%) will be made available to sub-grantees receiving grants of less than \$350,000 of new DOE money.

V8.3 Monitoring Activities

The state has a responsibility to perform monitoring and oversight of the work performed by the sub-grantee. DOE requires the state to perform a comprehensive monitoring of each sub-grantee annually. DOE requires 5 percent inspection of completed jobs and also recommends performing inspection on in-progress homes. The state will visit a 5 percent of completed jobs. If the state discovers significant deficiencies (health and safety violations, poor quality installation of materials, major services missed, etc.), the state will elevate both the number of

homes reviewed and the frequency of visitation until the deficiencies are resolved. The Monitors for the state and certificates held will be

Name	Type of Monitor	Funded by
Michael Frary	Technical	35% T&TA
Field Monitor (TBD)	Technical	15% Technical
Evelyn Billings	Technical/Administrative	10% Administrative- 10% T&TA
Linda Brumm	Administrative	15% Administrative
Trisha Ekenberg	Technical/Administrative	10% Administrative- 10% T&TA
Gloria Castro	Administrative	5% Administrative

We receive funds from DES LIHEAP and 5 of the state utilities to assist with the travel budget and funds for monitoring the 10 weatherization sub-grantees.

In addition, 100% of all jobs will be reviewed by desktop review via the Arizona WAP web-based database.

A. Role

The sub-grantees will be routinely monitored to:

- Determine program compliance and accountability
- Assist agencies in their program operations and compliance with DOE and state regulations
- Analyze program performance
- Analyze quality of work
- Identify problems, deficiencies, and areas that need improvement and advise on how to correct
- Analyze whether best possible program services are being delivered to low-income population
- Assess T&TA needs
- Improve program performance

B. On-Site Monitoring

On-site monitoring of sub-grantees are done by on-site technical and on-site fiscal monitoring to identify methods, deficiencies, and successes in program operations and to assess technical assistance needs to develop appropriate training courses. Inspection of completed dwelling units is done to monitor prioritization of weatherization measures, accuracy of energy audit,

job costs, quality of workmanship and material, and that the work completed is reflected in the job files. Inspection of warehouse and review of materials inventory are completed to insure adequate space and security at reasonable costs for the material inventory. Also, material inventory and condition of materials are verified. The Arizona WAP reviews sub-grantees monthly to determine if the sub-grantee is meeting its goals and expenditures in compliance with expenditure schedules. Program and fiscal monitoring will be used to determine the program and operational effectiveness of sub-grantees. Customer files, and sub-grantee financial systems, records and reports will also be routinely monitored to test the sub-grantee's ability to prudently deliver, support, and manage installations of allowable cost effective and energy efficient measures.

B.1 On-Site Technical

On-site technical monitoring will be done by a state monitor that has received their Quality Control Inspector certification, if the state's monitor has not received this certification, they will not be able to perform on-site technical inspections. The inspection will be of homes that have received a Quality Control Inspection by the sub grantee's Quality Control inspector, have DOE funds expend on them and have been reported into the state's database as completed.

Sub-grantees will be notified of on-site technical monitoring visits at least two weeks prior to the visit. The Grantee responsibilities related to the on-site technical monitoring event include the following:

- Grantee will visit weatherization sub-grantees at least once a year for monitoring, according to a written monitoring plan and monitoring schedule included in the State Plan.
- Client files will be reviewed to include the following:
 - Eligibility Determination Present
 - Proof of Ownership or Signed Rental Agreement
 - Priority check list or copy of REM Design
 - Work Agreement/Notice to Proceed
 - Invoices/Purchase Orders For All Materials Installed
 - Lead-Paint Notification Documentation
 - Certified Renovator and Test Kit Documentation
 - Lead Safe Weatherization Documentation (including pictures)
 - Mold/Moisture and Hazard Assessment and Notification
 - State Historic Preservation Documentation (if applicable)
 - Diagnostic Testing Documentation (including Combustion Appliance Testing)
 - Heating System/DHW Bid Sheets, Heat Loss Calculations, Vendor's Bids, and any other Documentation necessary for Repairs and Replacements
 - Low-Cost/No-Cost Checklist
 - No Previous Weatherization Checklist
 - Refrigerator Protocol Page (if applicable)

- Prior Approval Waiver (if applicable)
 - Sub-grantee Statement of Completion
 - Client File Checklist
 - Utility Release Form
 - Radon Pamphlet Notification Documentation
- Grantee will perform monitoring audits on a minimum of five (5%) percent of weatherization completions (refer to page 39 for more detail). Grantee will inspect in-progress units as needed. The field monitoring will be an analysis of quality of field practices, including:
 - Audit procedures and compliance with audit protocols and work orders
 - Diagnostics
 - Overall effectiveness
 - Compliance with state field standards
 - Workmanship
 - Appearance
 - Thoroughness
 - Health and safety issues
 - Agency final inspection procedures
 - Training needs
- Grantee staff will select the weatherization completions to be inspected by reviewing by random selection of jobs submitted in the data base, unless particular jobs are deemed to require review. The sub-grantee will be notified of the homes selected for inspection prior to the visit to allow coordination with the home owners.
 - Grantee will use Standard Works Specification to evaluate the weatherization jobs until the states field guide is developed.
 - Grantee will recommend re-works, re-inspections, and T&TA visits in response to findings.
 - Grantee will investigate legitimate customer complaints, which may result in the sub-grantee being required to return to correct errors or omissions.
 - Grantee will note concerns about sub-grantee operations on the inspection report.
 - Grantee will disallow costs and/or designate the sub-grantee as high-risk and place the Sub-grantee on a Watch List in response to recurring major findings or persistent noncompliance with Arizona WAP policy.

The monitoring visit will be documented and a Field Monitoring Summary Report will be prepared and provided to the sub-grantee within 10 days following the completion of the monitoring event. The summary report will serve as the written results of the on-site technical visit. The reports will be based on:

- **Findings**—an issue that may be a violation of rules or standards and needs to be addressed.
- **Concerns**—an issue that may not be in violation of rules or standards but needs to be addressed.

- **Recommendations**—notation based on monitor’s experience and expertise on how to improve certain aspects of the program.

B.2 On-Site Fiscal

In accordance with the State Plan, on-site fiscal monitoring visits are required to evaluate sub-grantees’ general administration and program management systems at least once a year

Grantee will notify sub-grantees of scheduled on-site fiscal monitoring event at least two weeks prior to the visit. The visit typically requires a minimum of two days to complete and requires frequent interaction with the WAP Director and sub-grantee administrative staff.

Key issues identified during the fiscal monitoring:

- Procurement
- Invoicing techniques
- Accurate job costing
- Proper designation of expenses between Administration and Program Operations
- Property records and inventory control

Following the on-site fiscal monitoring visit, a Summary of Findings Report will be prepared and typically provided to the sub-grantee within 30 days following the completion of the monitoring event.

C. Desk Top Monitoring

Every month, each agency will be monitored through the state data base system of all jobs submitted for that month. The goals of desk top monitoring are:

- Performance analysis of weatherization work in the home
- Review of weatherization expenditures
- Compliance issues
- Identify specific focus areas for an agency visit, including problematic jobs
- Can save time of actual sub-grantee visits by preparing and organizing information in advance

A monitoring report will be generated from the desk top review which will identify any compliance issues that may occur. Agencies will be sent a desk top monitoring report, if issues exist that need correction, the sub grantee will be given 15 days to comply with the necessary corrections. If the sub-grantee fails to comply in the 15-day time frame, funding may be withheld until compliance occurs. A final desk audit report will be sent to the agency after all issues have been addressed, or if no issues occurred during the desk audit.

D. Tracking

The Grantee may, by giving reasonable written notice specifying the effective date, terminate this grant in whole or in part for cause, which shall include:

- Failure, for any reason, of the sub-grantee to fulfill in a timely and proper manner its obligation under this grant including compliance with the approved work program and attached conditions, and such statutes, executive orders, and DOE and/or Grantee directives as may become generally applicable at any time;
- Late submission by the sub-grantee to the Grantee of DOE reports that are incorrect or incomplete;
- Ineffective or improper use of funds provided under this grant;
- Suspension or termination by DOE of the grant to the state under which this grant is made, or the portion thereof delegated by this grant. The state may also assign and transfer this grant as required by DOE directives.
- If the sub-grantee is unable or unwilling to comply with the terms of this grant or with additional conditions as may be lawfully applied by DOE to the grant, or the state, the sub-grantee may terminate the grant by giving fifteen (15) days written notice to the state signifying the effective date thereof. Furthermore, the residual assets and property purchased by the sub-grantee under this grant shall be transferred at the discretion of the state to an organization which is exempt from Federal income tax as an organization described in Section 501 (c)(3) of the Internal Revenue Code (1954) or to the appropriate federal, state or local government for exclusively public purposes. In such event, the state shall require the sub-grantee to ensure that adequate arrangements have been made for the transfer of all property and finished or unfinished documents, data, studies, and reports purchased by the Grantee under this grant. The sub-grantee shall be entitled to compensation for any unreimbursed expenses reasonably and necessarily incurred in satisfactory performance of the grant. Notwithstanding the above, the sub-grantee shall not be relieved of liability to the state for damages sustained by the state by virtue of any reimbursement to the sub-grantee for the purpose of set-off until such time as the exact amount of damages due the state is determined.
- If the sub-grantee is willing to relinquish all or a portion of the counties that they serve, the sub-grantee must give at least ninety (90) days written notice prior to the end of the program year to the state signifying the effective date thereof. In such event, the state will notify the other sub-grantees (CAAs, and other public and nonprofit entities) for the opportunity to manage the Weatherization Assistance Program in the said counties. Interested sub-grantees must submit to the state within thirty (30) days after notice by Grantee, a plan of action and budget to manage the counties up for award. Potential sub-grantees must show experience and performance in weatherization or housing renovation activities, experience in assisting low-income persons in the area to be served, and capacity to undertake a timely and effective weatherization program. Upon selection, the state will hold a public hearing to identify the sub-grantee(s) and amend the State Plan. Failure to relinquish prior to the ninety (90) day deadline will result in the Agency having to maintain the grant for the remainder of current program year and will automatically make them a sub-grantee of the next program year. Relinquishment can only occur between July 1st - February 28th.

E. Analysis

All sub-grantees must develop and maintain fiscal and accounting procedures, which conform to both federal and state policy for grants administration. Sub-grantees must also submit monthly Financial Status Reports. In addition, sub-grantees are governed by OMB A-122 for non-profit organizations, which set forth principles for determining allowable costs of programs under grants, contracts, and cooperative agreements with the federal government.

The Grantee has established fiscal controls and fund accounting procedures to assure the proper disbursement of all federal funds received by the state. Additionally, the state has established procedures for monitoring the utilization of such funds by project operators.

The controls and procedures to be implemented are as follows:

The State will follow the established fiscal policies and procedures mandated by state law. To accomplish this, the State will coordinate these policies with various other branches of state government as needed. Financial areas addressed in these procedures consist of fiscal management controls, the accounting system, fund controls, personnel and payroll management, property management, procurement, and the disbursement of funds.

The financial standards set forth by the state establish an adequate accounting system with appropriate internal controls which will safeguard assets, check the accuracy and reliability of accounting data, promote operating efficiency and encourage compliance with prescribed management policies.

V8.4 Training and Technical Assistance

T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities shall be designed to maximize energy savings, minimize production costs, improve program management, crew and contractor quality of work, and reduce the potential for waste, fraud, abuse and mismanagement. The state assesses the training needs of its sub-grantees through monitoring visits and state meetings; planned for one field monitoring per sub-grantee and semiannual meetings, funds permitting on the semiannual meetings.

Methods Used to Provide Training

- Formal classroom
- On-site training
- Hands-on training
- Certification Training

Description of Activities to be undertaken:

ARIZONA WAP formal training is carried out at the FSL SouthWest Building Science Training Center (SWBCTC), which is operated by FSL Home Improvements, a non-profit organization. The SWBCTC is one of the 15 U.S. Department of Energy “Legacy” weatherization training facilities in the country. It has been instrumental in developing weatherization specific trainings in the southwest and has played a large role in training the weatherization workforce to ensure that the State of Arizona meets its production and contractual obligations. Since 2004, the FSL SWBCTC has provided 30,000 hours of training to 1,730 training candidates. FSL SWBCTC staff has participated in national committees to assist in the development of the National Weatherization Training Guidelines.

The facility provides classroom and onsite laboratory based trainings with a specific emphasis on Weatherization activities and building knowledge, skills and abilities to perform work in the weatherization program. The SWBCTC is the only training facility in Arizona to provide a Weatherization Boot Camp course. The SWBCTC staff is comprised of industry leaders with decades of technical field experience. They are often recruited to present at regional and national conference training sessions.

The ARIZONA WAP requires that the sub-grantee and its contractors participate in weatherization related trainings that build or enhance their knowledge, skills and abilities to provide weatherization services/energy efficiency retrofits in accordance with the 10CFR, Part 440 and guidelines set out by the U.S. Department of Energy for the Weatherization Assistance Program.

Current SWBCTC course offerings include:

- WAP Boot camp – This camp combines Energy 101, Pressure Diagnostic 101, General Thermal Performance, Residential Retrofit Application 101, and Combustion Safety course into a weeklong training course that will provide weatherization professionals with an introduction to energy principles, thermal performance, health and safety standards, LSW, auditing, pressure diagnostics, and field repair. This course provides a combination of classroom and hands-on instructions that will prepare candidates to perform the tasks required of weatherization technicians within the current Weatherization Program Guidelines.
- Energy 101
- Pressure Diagnostics 101
- Combustion Safety
- General Thermal Performance
- REM design
- WAP admin
- Lead RRP Certification
- BPI Certification for Building Analyst
- OSHA 10/30 Certifications

- Energy Auditor Certification
- Installer Certification
- Quality Control Inspector certification(Currently working on this one)
- Success with Weatherization

Though SWBSTC offers these courses, training for OSHA, BPI and other necessary WAP training can be provide by any qualifying provider for the required certificates.

For details on SWBCTC and courses visit the SWBSTC website at: www.swbstc.org

Each sub-grantee will be required to maintain training records for its employees and contractors participating in the weatherization program. The training record will list all their training courses they have attended, certifications they possess and date of expiration of those certifications. This information is expected to be updated on an annual basis and provided to Grantee.

Arizona WAP will periodically review training performance of sub-grantees by way of sub-grantee self-assessment surveys, on-site monitoring and communication with SWBSTC on specific training deficiencies and needs.

Required Training

Mobile Homes

If your agency works on mobile homes or you have contractors that do, at least one person on the job site must hold a Building Performance Institute Certification for Mobile Homes, otherwise no work can be performed on mobile homes.

Crew Leader

- Renovation, Repair and Painting Rule (RRP)
- OSHA 30 hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp

Auditor and Inspectors

- Renovation, Repair and Painting Rule (RRP)
- OSHA 10 hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp

Quality Control Inspectors

- Renovation, Repair and Painting Rule (RRP)
- OSHA 30 hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp
- Quality Control Certification

Required- New Field Employees and/or Contractors

Within 6 months of Employment

- WAP Boot Camp
- Renovation, Repair and Painting Rule (RRP)
- OSHA 10 or 30 hour training (Depending on position held)

Within 1 year of employment

- Combustion Safety
- Success with Weatherization (Critical Details)

Tier 1 Training

Tier 1 training requires all WAP workers, including contractors, to go through a comprehensive training for their specific occupation of work, i.e. Auditor, Crew Chief, and Installer, which follows a curriculum that is in line with the Job Task Analysis (JTA) for their occupation. This training will be required to be taken at a facility with a DOE approved accredited training program for the JTA being taught.

Tier 1 training will be based on an annual training schedule for each JTA: Auditor, Crew Chief and Installer. Starting in Program Year 2015, the auditors must take the required training first. The training will be broken down by quarters.

Each quarter of the year the Auditor must attend two or three days of classes in line with the Auditor JTA. By the end of the year they will have completed the entire program and will be tested to make sure they have an understanding of the auditor position and its requirements. Upon completion of this class the WAP auditor will receive a state certificate for WAP auditor that will be effective for two years. Every odd program year they will have to go through the training cycle again and become recertified to continue to be a WAP auditor.

The Crew Chief and Installer must complete the same cycle as the auditor in even program years. Grantee will follow BPI's requirement for BPI and QCI certifications. They must gain recertification every three years by attending the required course.

Tier 2 Training

Unlike Tier 1 training Tier 2 training does not require an accredited program. Tier 2 training is made up of field training and classroom training. Tier 2 is not a scheduled training, the training will be done when concerns arise during a monitoring visit. If there are consistent issues, the sub-grantees must send workers to training that will address the issues.

Arizona WAP provides sub-grantees with T&TA funding to support attendance and participation at weatherization training events such as the DOE National Weatherization Conference and Energy OutWest Weatherization Conference, which is also considered Tier 2 training. It is expected that essential program personnel attend these conferences to stay current with new regulations, processes and technologies. Arizona WAP is aware that some sub-grantees might have travel restrictions due to budget constraints. It should be noted that funds to pay for sub-grantee travel are provided as part of the Weatherization grant award and proper usage of these funds will be closely monitored by Arizona WAP.

Attendance at state-sponsored training may be required based on the importance of the topic and information to help correct program deficiencies or to ensure competence in specific areas. In such cases, sub-grantee and delegate attendance will be required as a matter of program compliance.

Contractor Training

Training of contractors is an allowable cost through T&TA funds, though any costs associated with training contractors shall be preceded with a retention agreement in exchange for the training. Reimbursement of labor, mileage, meals and lodging costs for contractors attending trainings is **not allowable**. Sub-grantees shall consider whether the term of the retention agreement aligns with the cost of training provided.

Whenever possible, the term of a retention agreement shall coincide with the one-year contract (between the Agency and the Contractor) or one-year renewal period. Otherwise, the retention agreement shall be for the duration of the contract from the time the training is provided, not to exceed one year. Training, but not certification as a Lead or Asbestos Company or maintenance of any certifications, may be provided to subcontractors meeting retention requirements. Note that the retention agreement requirement does not apply to Grantee or contractor orientation sessions or when grantees provide instruction to contractors on improving technique as needed.

Client Education

Client education activities are encouraged. Sub-grantees have been trained on client education techniques and opportunities. This training is reinforced during field monitoring visits as the monitor is trained to speak with clients about various energy saving (and some non-energy savings) steps they can take such as; changing filters once a month, using compact fluorescent

lights, responsible management of their thermostats, water heater temperature usage and settings, combustion appliance safety, moisture control, and lead safety. Sub-grantees are required to distribute the lead booklet, "Renovate Right" (when potential for hazard exists), and mold and moisture awareness, pamphlets "A Brief Guide to Mold, Moisture, and Your Home" to clients prior to weatherization. Client education can occur at different times throughout the process and can include distribution of client educational material at the time of application as well as one-on-one during and post weatherization work by the energy auditor and/or field crew staff. Each agency must determine the best method of ensuring energy education is performed.

V.9 Energy crisis & Disaster Plan

The use of weatherization funds to address disaster relief activities are allowed under the following conditions:

1. The dwelling receiving services has an income eligible client/s for weatherization services
2. Dwelling must be in sound and safe condition for the occupant and workers to perform services
3. All work must meet weatherization standards
4. Must have an energy audit performed on the home to develop the scope of work from.
5. All policies for weatherization must be followed, i.e. client priority, income verification, testing procedures, etc.
6. Health and safety hazard eliminations are allowed only if needed to perform weatherization work
7. Usage of personnel to secure weatherization materials, tools, equipment, weatherization vehicles, or protection of weatherization files during the initial phase of the disaster response

Weatherization vehicles and/or equipment may be used for disaster relief purposes other than weatherization services, as long as WAP is reimbursed according to the DOE financial assistance regulation 10 CFR part 600.

Weatherization funds cannot be used for any activities that will not meet WAP policies and regulations, which would include but not limited to:

1. Providing WAP personnel to assist with disaster relief recovery activities using WAP funds other than weatherization services
2. Removal of debris from dwellings that will not receive weatherization work

The average cost of the dwellings still cannot exceed the average cost per dwelling for the current program year. If you need further guidance please reference Weatherization Program

Notice 12-7 located on WAPTAC.org. Also contact Grantee if further guidance is needed or if you have questions.