

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007936		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address New Jersey, State of 101 S. Broad St. Trenton, NJ 086250811		4. Program/Project Start Date 07/01/2019	5. Completion Date 06/30/2021

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. DOE 2019 & 2020 WAP-Formula Funds	81.042	\$ 322,844.00		\$ 13,266,670.00		\$ 13,589,514.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 322,844.00	\$ 0.00	\$ 13,266,670.00	\$ 0.00	\$ 13,589,514.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 414,606.00	\$ 0.00	\$ 670,655.00	\$ 0.00	\$ 1,085,261.00
b. Fringe Benefits	\$ 191,341.00	\$ 0.00	\$ 309,507.00	\$ 0.00	\$ 500,848.00
c. Travel	\$ 9,372.00	\$ 0.00	\$ 58,235.00	\$ 0.00	\$ 67,607.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 5,708.00	\$ 0.00	\$ 20,544.00	\$ 0.00	\$ 26,252.00
f. Contract	\$ 0.00	\$ 679,476.00	\$ 616,278.00	\$ 515,000.00	\$ 11,809,563.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 6,650.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 6,650.00
i. Total Direct Charges	\$ 627,677.00	\$ 679,476.00	\$ 1,675,219.00	\$ 515,000.00	\$ 13,496,181.00
j. Indirect Costs	\$ 35,657.00	\$ 0.00	\$ 57,676.00	\$ 0.00	\$ 93,333.00
k. Totals	\$ 663,334.00	\$ 679,476.00	\$ 1,732,895.00	\$ 515,000.00	\$ 13,589,514.00
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		\$ 322,844.00	\$ 0.00	\$ 13,266,670.00	\$ 0.00	\$ 13,589,514.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,085,261.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 500,848.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 67,607.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 26,252.00
f. Contract	\$ 8,305,305.00	\$ 1,245,772.00	\$ 223,866.00	\$ 223,866.00	\$ 11,809,563.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 6,650.00
i. Total Direct Charges	\$ 8,305,305.00	\$ 1,245,772.00	\$ 223,866.00	\$ 223,866.00	\$ 13,496,181.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 93,333.00
k. Totals	\$ 8,305,305.00	\$ 1,245,772.00	\$ 223,866.00	\$ 223,866.00	\$ 13,589,514.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007936, State: NJ, Program Year: 2019)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
BERGEN COUNTY COMM. ACTION PROG., INC. (Hackensack)	\$868,206.00 95
CAMDEN COUNTY COUNCIL ON ECONOMIC OPPORTUNITY (Pennsauken)	\$1,081,420.00 118
Gateway Community Action Partnership (Bridgeton)	\$725,566.00 79
Isles, Inc. (Trenton)	\$293,791.00 32
LA CASA DE DON PEDRO (Newark)	\$1,309,339.00 143
NATIVE AMERICAN ADVANCEMENT CORP (Bridgeton)	\$661,513.00 72
NORTHWEST NJ COMMUNITY ACTION PROGRAM, INC. (Phillipsburg)	\$425,676.00 46
OCEAN COMMUNITY ACTION NOW, INC. (Toms River)	\$1,266,187.00 138
PASSAIC COUNTY BRD OF CHOSEN FREEHOLD (Totowa)	\$905,532.00 99
PUERTO RICAN ACTION BOARD, INC. (PRAB) (New Brunswick)	\$1,060,376.00 116
Puerto Rican Organization for Community Economic Development (Elizabeth)	\$981,344.00 107
Puertorriquenos Asociados for Community Organization (Jersey City)	\$1,161,149.00 126
The Morris County Organization for Hispanic Affairs, Inc. (Dover)	\$453,186.00 49
Total:	\$11,193,285.00 1,220

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	1,220
Rewatherized Units	0
Note: Planned units by quarter or category are no longer required, no information required for persons.	

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	1,220
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	1,220
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$8,305,305.00

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G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	1,220
H	Average Program Operations Costs per Unit (F divided by G)	\$6,807.63
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,807.63

IV.3 Energy Savings

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	1220	29.3	35746
Prior Year Estimate	486	29.3	14240
Prior Year Actual	453	29.3	13273
Method used to calculate savings description: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>			

IV.4 DOE-Funded Leveraging Activities

N/A

IV.5 Policy Advisory Council Members

☐ Check if an existing state council or commission serves in this category and add name below

County of Passaic	Type of organization: Unit of Local Government Contact Name: Kevin Batacchi Phone: 9735694710 Email: kevinba@passaiccountynj.org
Native American Advancement Corp	Type of organization: Indian Tribe Contact Name: Tyrese Gould Jacinto Phone: 8564550600 Email: TyGould@NativeAdvancement.org
NJ Department of Community Affairs	Type of organization: Unit of State Government Contact Name: Jerry Rizziello Phone: 6099157747 Email: Jerry.Rizziello@dca.nj.gov
NJ SHARES	Type of organization: Non-profit (not a financial institution) Contact Name: Cheryl B. Stowell Phone: 6098831460 Email: cstowell@njshares.org
Office of Home Energy	Type of organization: Unit of State Government Contact Name: Fidel Ekhelar Phone: 6099846670 Email: Fidel.Ekhelar@dca.nj.gov
PSEG-Comfort Partners	Type of organization: Utility Contact Name: Marlon Avelino Phone: 9734308936 Email: Marlon.Avelino@pseg.com
Public Service Electric and Gas	Type of organization: Utility Contact Name: Claire Bartolomeo Phone: 9734307610 Email: claire.bartolomeo@pseg.com

IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/16/2020	Published in the Press of Atlantic City, Courier Times, The Trenton Times, Asbury Park Press, Burlington County Times and the Star Ledger

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IV.7 Miscellaneous

1. Identification of Principal Investigator and Business Officer:

Principal Investigator:

Angie Armand, Supervisor
Weatherization Assistance Program
Office of Low Income Energy Conservation
Division of Housing and Community Resources
NJ Department of Community Affairs
PO Box 811
Trenton, NJ 08625-0811
TEL: 609-984-7920
FAX: 609-292-9798
Angie.armand@dca.nj.gov

Business Officer:

Janel Winter, Division Director
Division of Housing and Community Resources
NJ Department of Community Affairs
PO Box 806
Trenton, NJ 08625-0806
TEL: 609-633-6204
FAX: 609-292-979
Janel.winter@dca.nj.gov

2. Policy Advisory Council

Policy Advisory Council serves in an advisory capacity for all Weatherization Assistance Programs including the two funded through LIHEAP Funds, LIHEAP WAP and Heating Improvement Program (HIP).

3. ACSI Survey

NJ WAP presented the results of the ACSI Survey to sub grantees at the January 15, 2020 Weatherization Managers' monthly. A follow-up conference call with 6 of the 12 sub grantees and the training provider, Virginia Community Housing Partners, was held on January 29, 2020 as a result of the ACSI Survey for New Jersey. Sub grantees requested that refresher courses be provided for existing staff. The top requested trainings are:

- Energy Auditor Training and Certification
- Refresher courses for – National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit (MHEA)
- Training on Hancock Energy Software for Weatherization Assistance Program (HESWAP)
- Heating, Ventilation and Air Conditioning (HVAC)
- Weatherization Assistance Program (WAP) Management
- Financial Management
- Infrared Camera
- Refresher course on Quality Control Inspection (QCI)
- Healthy and Safety

In addition, sub grantees identified July and August as the best period to hold the trainings and for increasing participation in the trainings.

Further discussion on the ACSI Survey will be held at the February 19, 2020 Weatherization Managers' meeting. Sub grantees were requested to consider action items that can be taken to improve communication and enhance training activities.

In the addition, to encourage further input and increase communication with sub grantees, the Policy Advisory Council encourage them to participate in two sub committees, State Plan and Technical committees. For the development of the 2020 State Plan, the following three sub grantees participated in the sub committees, PROCEED, and Passaic County.

Weatherization Managers' meetings are held monthly. At each meeting, sub grantees are provided the opportunity to discuss issues, concerns, etc. with the entire group. Initiated with the 2019 Weatherization Managers' meetings, time is set aside for roundtables. These roundtables will provide the opportunity for sub grantees to share best practices with each other. Each roundtable will focus on a single focus topic such as outreach strategies, financial management practices, contractor management, etc.

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4. The variance between the Annual File Total \$11,215,648 and the Budget Categories for Sub grantees \$10,892,804 is the carryover of \$322,844 from PY18 that was carried over into PY 19. The remaining balance is \$22,363.

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This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

Provide a description of the definition of income used to determine eligibility

Prior to the weatherization of any unit, documentation shall be obtained, using the state weatherization application certifying that the household meets eligibility criteria as per 10 CFR § 440.22 and the New Jersey Weatherization Policy and Procedures Manual, Chapter 1, Eligibility and Documentation. Chapter 1 can be found at <https://www.nj.gov/dca/divisions/dhcr/offices/wap.html>.

Eligibility guidelines are based on the Federal Poverty Guidelines. Per the U.S. Department of Energy (DOE) regulations, the State of New Jersey computes income eligibility at gross annual household income equal to or less than 200% of Federal Poverty Guidelines; or

The household includes a member who has received cash assistance payments under Title IV or Title XVI of the Social Security Act; Food Stamps under the Food Stamp Act of 1977; or adoption subsidy under Title IV federal or state cash assistance payments or applicable state or local law at any time during the twelve-month period preceding the determination of eligibility for weatherization assistance.

Describe what household eligibility basis will be used in the Program

All applicants shall be required to complete an application for weatherization assistance including clients that come to the Sub-grantee from the Home Energy Assistance Program (HEA) as the result of a direct feed to HEA from the Food Stamps or the Pharmaceutical Assistance to the Aged and Disabled (PAAD) programs. This application may be the same application used for the household to apply for HEA benefits, provided that the application is complete and current. The only exception to this requirement applies to recipients who rent units in multi-family buildings that use the U.S. Department of Housing and Urban Development (HUD) income qualification process to determine eligibility for subsidized housing. If a multi-unit building is identified and approved by HUD for weatherization as provided in WPNs 16-5 and 17-4, Sub-grantees will not be required to certify income eligibility for the tenants. Sub-grantees are not required to complete landlord-tenant agreements for each tenant. Sub-grantees are still responsible for the collection of all required income and demographic data for such units. Chapter 2, Eligible and Non-Eligible Structures, of the Policy Manual, provides information concerning the HUD income qualification process. Chapter 2 can be found at <http://www.nj.gov/dca/divisions/dhcr/offices/wap.html>.

Definition of Household:

A household is defined as all persons living together in a dwelling unit (10 C.F.R. § 440.3). The proof necessary to include a person as a member of the household is described in more detail in Chapter 1, Eligibility and Documentation, Section 3, Required Documentation at <http://www.nj.gov/dca/divisions/dhcr/offices/wap.html>.

Households that have been certified eligible for weatherization and are placed on the sub-grantee waiting list remain eligible for a period of one year from the certification date. The certification date shall be the actual date the household was deemed eligible. If a client is on the waiting list for one year or more, the Sub-grantee must request updated income documentation as outlined in Section 3, Chapter 1 of the NJ WAP Policy and Procedures Manual.

All applicants determined to be eligible for Weatherization Assistance will remain eligible for a period of one year from the date the agency certifies them as eligible. If an energy audit of the applicant's dwelling unit is performed by the Sub-grantee within one year from the date the applicant is certified, no additional documentation is required. If an application has not been acted upon during the past year, it must be reviewed, dated, and re-signed certifying that all information provided is still current.

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

No person except a citizen or a specially qualified non-citizen shall be eligible for the federal Food

Stamp program, Family Assistance, Safety Net Assistance, or services funded under Title XX of the federal [Social Security](#) Act, except as follows:

1. A qualified non-citizen, who is not a specially qualified non-citizen, who was a lawful resident of the United States before 8/22/96, or who was a lawful resident of the United States on or after 8/22/96, for five or more years, is, if otherwise eligible, eligible for Family Assistance, Safety Net

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Assistance, and services pursuant to Title XX of the federal Social Security Act, but shall be ineligible for the federal Food Stamp program.

2. A qualified non-citizen, who is not a specially qualified non-citizen, who entered the United States on or after 8/22/96 but who was a legal resident of the United States for less than five years shall, if otherwise eligible, be eligible for Safety Net Assistance, but shall be ineligible for Family Assistance or Food Stamp.

3. A non-citizen whose status is not within the meaning of the term qualified non-citizen, but who is otherwise permanently residing in the United States under color of law (PRUCOL); as such term was used on August 21, 1996, by the federal Administration for Children and Families is, if otherwise eligible, eligible for Safety Net Assistance.

4. A person paroled into the United States under Section 212(d) (5) of the Immigration and Nationality Act for a period of less than one year is, if otherwise eligible, eligible for Safety Net Assistance.

5. Nothing shall preclude the receipt by a non-citizen of community-based non- cash assistance in accordance with the directions of the U.S. Attorney General.

6. Any non-citizen, including a non-citizen who is not qualified, is eligible for adult protective services and services and assistance relating to child protection to the extent that such person is otherwise eligible pursuant to this Section and the Regulations of the department.

7. A non-citizen is eligible for additional state payments for aged, blind, and disabled persons under social services law only to the extent that such person is not ineligible for federal SSI benefits due to citizenship status.

In most cases, non-citizens are eligible for Weatherization Assistance. Qualified non-citizens defined in Section 431 of the Federal Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996, P.L. 104-193, if otherwise eligible, may receive Weatherization Assistance (see N.J.A.C. 10:90-2.10 and 10.3).

1. Qualified non-citizens are defined as legal immigrants that include but may not be limited to legal permanent residents, refugees, individuals paroled into the United States for a period of at least one year, individuals whose deportation has been withheld, individuals granted conditional entry, and certain individuals who are victims of domestic abuse.
2. In cases where a non-qualified (undocumented) citizen resides within an applicant household, the non-qualified (undocumented) citizen must be excluded from the HEA household size. If the non-qualified (undocumented) citizen has monthly income more than \$300.00, the amount more than \$300.00 shall be counted as income to the household and must be added to all other household income in determining the household's gross monthly income.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Chapter 2, Eligible and Non-Eligible Structures, of the Policy Manual (https://www.nj.gov/dca/divisions/dhcr/offices/docs/wap/Wap_Chapter_2.pdf), defines the eligible and non-eligible structures for Weatherization Assistance in accordance with 10 C.F.R. § 440.22. An adjusted application date is established for a dwelling unit based on the presence of priority individuals residing in the unit. As stated in Chapter 1, Eligibility and Documentation, Section 4, prioritization of multi-family buildings for which the sub-grantee receives leveraged funds before other multi-family dwellings, group homes or shelters is allowed.

In addition, as stated in this Chapter, sub-grantees are required to obtain and execute New Jersey's current Landlord/Tenant Weatherization Agreement Form Multi-Family Only (5 units or more) which ensure that the rights of tenants, as well as the weatherization investment in rental buildings, are protected and that the benefits of weatherization accrue to the low-income persons the program intends to serve. Signed copies of this document are provided to both the Tenant and the Landlord. The document is enforceable by the tenant(s). A copy of the document must be maintained in the building folder. The agreement also states that owners will agree that rents shall not be raised because of the weatherization measures installed. Sub-grantees must carry out the weatherization without undue or excessive enhancement of the aforesaid property and with benefit to the Tenant.

Describe Reweathering compliance

In accordance with 10 CFR 440.186(2)(iii), re-weatherization is the provision of service to a dwelling unit that has been previously served. Re-weatherization is permitted in those units which were originally weatherized prior to September 30, 1994. Re-weatherization of units served since 1994 may be allowed if the building has been damaged by flood, fire, storm, etc., and approval has been provided by OLIEC. In accordance with Chapter 7, WAP's Agency Grant Management and Program Operations, Section 3.11, sub-grantees are required to maintain a list or database of homes weatherized for cross-referencing with new applications. Sub-grantees must maintain, at a minimum, records of homes weatherized back to September 30, 1994. The Hancock Energy Software for the Weatherization Assistance Program (HESWAP) provides for a centralized database of homes weatherized in New Jersey. DCA's re-weatherization policies and its weatherization grant agreement explicitly state that the weatherization services may be provided to dwellings that were weatherized prior to September 30, 1994.

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Describe what structures are eligible for weatherization

Single-family dwelling unit means a house or stationary mobile home whose occupants live together as a family or household and share all the facilities of the dwelling unit in common, particularly common access to their dwelling unit and a common kitchen.

Multi-Family building is defined as a building with five or more rental units. If a multi-unit building is identified as a HUD assisted building property owners and or managers interested in Weatherization Assistance must submit two documents to HUD that meet and confirm compliance with the DOE's income eligibility requirements. The two forms are:

1. [Property Self-Certification Form](#); and
2. Multifamily Occupancy Report from current property records.

Both forms can be found in the Appendix, Chapter 2 Section. Upon completion of the Property Certification and the Multifamily Occupancy Report, the property owner (or property manager) will submit both files to HUD at energyaction@hud.gov and to DOE at Derek.Schroeder@ee.doe.gov.

This certification process does not apply to the U.S. Department of Agriculture (USDA) and Low- Income Housing Tax Credit Properties (LIHTC). Sub-grantees must follow standard procedures for verifying individual resident incomes for these properties.

A shelter/transitional home is defined as a dwelling unit or units whose principal purpose is to temporarily provide housing for individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities such as transitional homes for parolees if the facility is zoned as residential as demonstrated by a residential registration form issued by the respective municipality. It provides short-term supportive services housing to facilitate movement to independent living. If more than one family is receiving services in the same unit, then a Shelter License must be obtained from the New Jersey Department of Community Affairs.

Non-stationary campers and trailers are not eligible for weatherization due to a lack of mailing address associated with the applicant. Post Office boxes do not meet the requirement of a valid address.

Prior to weatherization, Sub-grantees are required to comply with Section 106 of the National Historic Preservation Act (NHPA) which can be found at <https://www.achp.gov/protecting-historic-properties> Section 106 of the National Historic Preservation Act of 1966 (NHPA) requires Federal, state and local agencies to consider the effects of their undertakings on historic properties. Section 106 applies to historic properties or sites that are listed on or eligible for listing on the National Register of Historic Places.

Sub-grantee must verified if the property is historic through the Statewide Historic Preservation website at https://www.state.nj.us/dep/hpo/1identify/nrsr_lists.htm and with the local Historic Preservation Office.

If property is historic, then Sub-grantee must confirm if all work proposed is found in the exemptions list in Appendix A of the NJ Historic Preservation Programmatic Agreement that can be found at https://www.nj.gov/dca/divisions/dhcr/offices/wap_resources.html.

Describe how Rental Units/Multifamily Buildings will be addressed

Prior to weatherizing an entire building of multi-family housing (including common area), a specific eligibility test will be applied:

1. Not less than 66% of the **occupied** dwelling units must be eligible dwelling units in a complex of five or more units.
2. 50% eligibility must be met for duplexes and four-unit buildings.
3. In buildings of five or more units where less than the required percentage of units are eligible, only the eligible units may be weatherized with USDOE grant funds.
4. A building containing rental dwelling units if it is included on the most recent list posted by the USDOE of Assisted Housing and Public Housing buildings identified by HUD. Sub-grantees are not required to complete landlord-tenant agreements for each tenant. Sub-grantees are responsible for the collection of all required income and demographic data for such units and must also have signed permission by landlord/ homeowner to weatherize for each dwelling unit.
5. Unoccupied units within multi-family buildings may be weatherized only if they will become eligible dwelling units within 180 days under a Federal, State, or Local government program for rehabilitating the building or making similar improvements to the building.
6. A single unit within a multi-family unit building is not categorically excluded. The unit requires prior approval from USDOE.

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Sub-grantees are required to obtain and execute New Jersey's current Landlord - Tenant Agreement form that ensures that the rights of tenants and the weatherization investment in rental buildings are protected and that the benefits of weatherization accrue to the low-income persons

the program intends to serve. Signed copies of this document are provided to both the Tenant and the Landlord. The document is enforceable by the tenant (s).

In accordance with 10 C.F.R. § 440.22 (d), NJ WAP may require leveraging of landlord contributions, when feasible, from the owners of such buildings. Landlord contributions shall not be reported as program income nor treated as appropriated funds. The funds contributed by the landlord shall be expended in accordance with the agreement between the landlord and the Sub-grantee.

This policy permits the prioritization of multi-family dwellings for which the Sub-grantee receives a landlord contribution and requires building owners to make code and safety improvements prior to receiving weatherization services.

Describe the deferral Process

In accordance to the Chapter 7, WAP Agency's Grant Management and Program Operations, Section 3.9, of the Policy Manual, Sub-grantees must postpone work when problems occur that cannot be remedied within the scope of allowable measures identified in this State Plan or other available grantee and sub-grantee funds. Building rehabilitation and hazard remediation work are beyond the scope of WAP.

Units must be deferred if necessary corrective work is beyond the scope of this State Plan.

Clients must be notified in writing within 7 business days of the site visit wherein a determination was made to defer the project. The notification form can be found at https://www.nj.gov/dca/divisions/dhcr/offices/docs/wap/wap_3_deferral_notification.pdf

and shall include the reason(s) for deferral, any testing results, and appeal rights. Sub-grantees are expected to make reasonable efforts on behalf of their clients to find alternative assistance when USDOE funds are unable to address conditions that lead to deferral. When possible, the notice shall include a list of potential agencies with funding designed to address the specific issue which precludes a client from participating.

Additional considerations that may lead to deferral shall include other good cause which includes any condition which may endanger the health and/or safety of the occupant, work crew, or subcontractor as determined by the DCA at its sole discretion (i.e., illegal activity, pets, animal waste, and hoarding).

When a unit is deferred, Sub-grantee can submit the unit for review and consideration for possible weatherization through the WAP and Comfort Partners Partnership. Chapter 9 in the NJWAP Policy Manual reflects the Memorandum of Understanding (MOU) and partnership workflow process with Comfort Partners. WAP sub-grantees will seek a possible joint audit with Comfort Partners. If the unit does not meet the eligibility criteria for the Partnership Program, then the house would be deferred. The joint venture is limited to single-family-owner occupied households with natural gas or electric heating (1-4 units).

V.1.3 Definition of Children

Definition of children (below age): 6

V.1.4 Approach to Tribal Organizations

☐ Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

In accordance with 10 C.F.R. § 440.16(f), low income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the State.

V.2 Selection of Areas to Be Served

For the 2020 Program Year, NJ WAP will continue to serve the entire State divided into 13 service areas based on the population in poverty, utilizing the

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2016 American Community Survey, U.S. Census data, and proximity of surrounding counties. Allocations to Sub-grantees will be a base award of \$100,000 with the remaining award allocated based on the number of individuals in poverty within the service area. The map below reflects the 13 services areas. The Annual File of this State Plan identifies the sub-grantees, allocation amounts, and projected production goals.

Sub-grantees are selected based on the following considerations:

1. Have the experience and the capacity to complete and undertake the program activities as reflected in the Weatherization Workflow Process chart, as stated in the New Jersey Weatherization Assistance Program Policy and Procedures Manual, Chapter 7, WAP Agency's Grant Management and Program Operations, Section 1.2.
2. Demonstrate knowledge of the current New Jersey State Plan for the Weatherization Assistance Program.
3. Obtain required training, as indicated in the current NJ WAP State Plan, within 30 to 60 days of award.
4. Demonstrate the ability to accept payment on a reimbursable basis and in accordance with Chapter 7, WAP Agency's Grant Management and Program Operations.
5. Demonstrate experience in performing energy efficiency retrofits or related experience. Indicate the vehicles available and technical equipment necessary to perform all aspects of the program. Vehicles must meet Health and Safety standards.
6. Have qualified staff or entities responsible for performing energy audits and quality assurance audits.
7. Be certified as an RRP firm with the U.S. Environmental Protection Agency at the time of application.
8. Have on staff a Building Performance Institute (BPI)-certified Quality Control Inspector.
9. Have a qualified technical field representative that can perform the job duties performed by both the estimator/evaluator and the heating system specialist.

Preference is given to any Community Action Agency or other public or non-profit entity that has or is currently administering an effective program under 10 C.F.R. § 440 ET. Seq. or under Title II of the Economic Opportunity Act of 1964.

Because of the need to maintain continuity of the WAP, it is not the intention of DCA to replace a Sub-grantee currently operating a program unless it can be shown that the current Sub-grantee cannot effectively operate the program or that an alternative Sub-grantee can provide superior program administration. Further, the selections of alternative delivery systems during the program year are as infrequent as possible so that disruptions in service delivery can be reduced to an absolute minimum. Using the selection criteria required by 10 C.F.R. § 440.15 ET. Seq. as part of a Request for Proposals (RFP) process, DCA chooses alternative delivery systems, if needed, during the program year. Removal of a program of a sub-grantee will not be done until a suitable organization can be found to administer the program, either temporary or on a permanent basis. This will ensure that the transfer of the program will not result in a gap in service to clients for any period of time. Through this State Plan, NJ WAP will reinstate ISLES, Inc. as a local WAP agency to serve Mercer county. ISLES participated in the program from 2010-2012. The current local WAP agency for Mercer County has failed to serve this target area. Numerous meetings were held with the local agency, PRAB, with no improvement shown.

If funding is removed or returned by a sub-grantee, DCA will exercise discretion in either distributing that funding to existing sub-grantees or new sub-grantee through an RFP or awarding funding to performing sub-grantees that have the capacity of handling additional funding as evidenced by their grant spending and meeting production benchmarks. Areas of funding can be expanded or reduced based on the upcoming 2020 Census.

A Performance Fund of \$700,000 will be established through this State Plan. The following criteria would be applied when considering who will qualify for those funds:

1. Sub-grantee has met the bimonthly benchmarks as stated in the grant agreement;
2. The current award must have reached a 90% spend down level;
3. Sub-grantee has submitted financial and quarterly reports within timelines as stated in Chapter 7 of the NJ WAP Policy and Procedures Manual

V.3 Priorities

Prioritization protocol for weatherization service is established by Chapter 1, Eligibility and Documentation, Section 4, Prioritization of Applicants. Priority is established by the "adjusted application date," which is the date the application is certified as complete by the weatherization manager, as adjusted according to the policy. Adjustments to the application date are made based on the presence of priority clients within the household to be served and to ensure that households that have priority status and are high-energy users and/or high energy burden can receive weatherization on an accelerated basis.

Federal WAP regulations (10 C.F.R. § 440) require that priority be given to "identifying and providing weatherization assistance to elderly and handicapped low-income persons."

Elderly Units

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Data extrapolated from the 2016 American Community Survey of the U.S. Census figures indicate that 15.4% of the State's population is elderly (60 years and older). An assessment of the total number of eligible dwelling units in New Jersey yields 676,976. Thus, the estimated number of eligible dwelling units in which the elderly reside is 104,254 (676,976 x 15.4%).

Handicapped Units

NJ WAP reports for January 1, 2014, through December 31, 2018, reveal that 14.3% of the dwelling units weatherized were occupied by persons with disabilities. Thus, the estimated number of eligible dwelling units in which persons with disabilities reside is 96,808 (676,976 x 14.3%).

In addition, the 2016 American Community Survey of the U.S. Census indicates that 31.9% of the elderly population have at least one disability.

The ranking system, as stated in Chapter 1, of the NJ WAP Policy and Procedures Manual, is applied as follows:

1. Intake and income/categorical eligibility determinations proceed as usual.
2. Following the determination of program eligibility, the household is evaluated to determine its priority status. Priority ranking points are awarded based on the following:

One point each for:

- Presence of children ages 0-6 (up to 1)
- Each elderly household member (up to 2); see definition provided in section 4.1 ("Definitions of Disabled and Elderly")
- Each disabled household member (up to 2); see definition provided in section 4.1 ("Definitions of Disabled and Elderly")
- High Energy Burden (up to 1)
- High Residential Energy User (up to 1)

Three points for one terminally disabled household member, five points for more than one terminally disabled household member.

Note that one household member can qualify the household for points in more than one category.

3. An adjusted application date is calculated, based on the total household priority points.
4. For each point, six months are subtracted from the actual application date.
5. All eligible households are to be served on a first-come, first-served basis based on the adjusted application date.
6. Multi-family buildings are ranked on the waiting list based on the adjusted application date of the building's highest priority individual eligible dwelling unit.

NJ WAP has implemented a Landlord Contribution Policy, which allows Sub-grantees to weatherize multi-family buildings for which contributions have been received before multi-family dwellings owned by non-contributing owners. All eligible clients will be served in both cases; however, expediting service to dwellings that include landlord contribution funds will allow the Sub-grantee to weatherize additional units. New Jersey encourages landlord contribution for regular or shell weatherization tactics of no less than 25% of the total cost. Mandatory landlord contribution of no less than 50% of the total cost towards all heating system upgrades is required.

V.4 Climatic Conditions

Information obtained from the National Centers for Environmental Information, Center for Weather and Climate, classifies New Jersey into three regions, southern, northern and coastal. The data below reflects heating (HD) and cooling days (CD) from 1985 to 2015, a 30-year span. Total heating and cooling days range from 5,835 to 6,734. HD range from 4,862 to 5,869. CD range from 885 to 1,012. The Weatherization Assistance Tool only captures two locations Lakehurst, NJ (located in Ocean County, Coastal NJ) and Newark, NJ (located in Essex County, Northern NJ).

Climatic Region	Sub-grantee	Sub-grantee County	Average Heating Days (HD)	Average Cooling Days (CD)	Total HD and CD
Region 1	Greater Bergen	Bergen			
	La Casa de Don Pedro	Essex			
	NORWESCAP	Hunterdon, Sussex, Warren	5,869	895	6,764

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Northern	PACO	Hudson			
	PROCEED	Morris, Somerset, Union			
	Passaic County	Passaic			
	Ocean, Inc.	Monmouth, Ocean			
	Native American Advancement Corp (NAAC)	Atlantic, Cape May			
Region 2	Camden OEO	Burlington, Camden	4,969	1,012	5,981
Southern	PRAB, Inc.	Mercer, Middlesex Gloucester,			
	Gateway CAP	Salem, Cumberland			
Region 3	NAAC	Atlantic, Cape May			
Coastal	OCEAN, Inc.	Monmouth, Ocean	4,862	973	5,835

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

New Jersey's Weatherization Field Guide Standard Work Specifications (SWS) Aligned edition prescribes correct installation practices in accordance with the NREL Standard Work Specifications and WPN 15-4. These standards are mandated for contractor/crew installations and form the basis for quality control inspections of completed work. In addition, Section C, Scope of Services, of the executed Grant Agreements with Sub-grantees clearly states the following:

"This project will be implemented in accordance with the U.S. Department of Energy's Standard Work Specifications" as defined in the New Jersey Weatherization Field Guide (2018 SWS aligned version) and the NJ WAP Policy and Procedures Manual."

Sub-grantees were provided the opportunity to request a printed version of the Field Guide. Field Guides were delivered by State Monitors to each Sub-grantee from November 23-December 7, 2018. Sub-grantees were required to sign a confirmation receipt form.

Sub-grantees are required to include the Field Guide with all bid packages. Executed grant agreements are evidence of acceptance of the terms and conditions for WAP funds.

The Field Guide can also be found at the Department of Community Affairs' webpage at <http://www.state.nj.us/dca/divisions/dhcr/offices/wap.html>. Sub-grantees can print the field guide and distribute it to contractors and crews.

All measures, building, and Heating improvements must be recommended by an approved energy audit and authorized by Appendix A of 10 C.F.R. § 440.

Building Envelope Measures

Typical building envelope measures in New Jersey address both conductive and convective heat losses. These measures include weather-stripping, caulking, infiltration reduction measures, insulation, health, and safety measures and other measures that are recommended by the approved energy audits and authorized by Appendix A of 10 C.F.R. § 440.

Heating System Improvement Measures

Heating system improvement measures include the repair, retrofit, and replacement of the full variety of heating systems and hot water heaters encountered. A furnace or boiler may be replaced if the energy audit report recommends this as a prioritized measure, and priority measure is financially reachable. Heating system improvement services are also available on an expedited basis to address emergency situations if the client can be prioritized based on the point system. These services may also be financed with Health and Safety funds if circumstances so warrant. All clients receive an evaluation of the heating system as a regular part of the WAP energy audit process and are eligible for both building envelope and heating system services. Chapter 6, Heating Systems, of the

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Policy Manual lists specific procedures for the handling of heating system retrofits, repairs, replacement, and testing. NJ WAP prefers to address Heating System replacements and repairs and hot water heaters through the Heating Improvement Program grant.

Field guide types approval dates

Single-Family: 8/29/2018
Manufactured Housing: 8/29/2018
Multi-Family: 8/29/2018

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: NEAT
Approval Date: 2/21/2017

Audit Procedure: Manufactured Housing
Audit Name: MHEA
Approval Date: 2/21/2017

Audit Procedure: Multi-Family
Audit Name: EA-QUIP
Approval Date:

Comments

New Jersey will use site-specific audits to weatherize units as stated in Chapter 4, Energy Audits, of the Policy Manual. New Jersey is using the National Energy Audit Tool (NEAT) audit for single-family dwelling units, Energy Audit using the Queens Information Package (EA-QUIP) for multi-family dwellings and Manufactured Home Energy Audit (MHEA) for mobile homes. Sub-grantee personnel will perform the energy audit.

Reviews of energy audits are conducted by State Monitors on a quarterly basis to ensure the quality of work and for identifying training needs. State Monitors will randomly select three to four audits for review and provide Sub-grantee with a summary of findings.

U.S. Department of Energy (USDOE) has provided unconditional approval of the NEAT and MHEA on February 21, 2017. Approval request for the EAQUIP audit was submitted on November 1, 2016 and pending resubmission. NJ WAP will be conducting a testing/pilot phase to determine if HEAT is a cost-effective and efficient energy software. LIHEAP funds will be utilized during the pilot phase.

NJ WAP received approval on May 11, 2017, to allow the installation of light-emitting diode lighting (LEDs) as an energy conservation measure with the restrictions that LEDs will be Energy Star qualified or of equal or better quality and efficiency.

On August 20, 2018, USDOE provided approval for the variance request on hot water tank installation. If additional tank insulation is warranted by the energy audit, it shall have a minimum R-value of 11. This specification will only apply to single-family and manufactured homes.

On December 18, 2018, USDOE provided approval for the use of spray foam as an energy conservation measure.

V.5.3 Final Inspection

Sub-grantees are required to complete a quality control inspection of all (100%) units weatherized before an invoice is submitted to NJ WAP for quality assurance inspections and request for reimbursement. As indicated in the executed grant agreements and Chapter 8, State Quality Assurance Inspections and Monitoring, of the Policy Manual, all units must be inspected by a Certified Quality Control Inspector.

The date and signature of the certified QCI must be included in the sub-grantee client file for each unit reported on an invoice. The inspector is certifying that

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the work is complete and adheres to the Standard Work Specifications. NJ WAP has developed a standardized Quality Control and Assurances Inspection Form that will ensure SWS compliance on final inspections.

For contractor-based Sub-grantees, NJ WAP holds the Sub-grantee responsible and accountable for certifying all measures installed by contractors meet the SWS. Sub-grantees are required to provide copies of the New Jersey Field Guide (SWS aligned) to contractors and must include with bid packages.

NJ WAP uses the Independent Auditor/QCI model for its quality control inspections due to the differing capacities of Sub-grantees. Each sub-grantee has at least one QCI on staff or sub-contract the QCI. NJ WAP conducts quality assurance inspections on 25%, or more of the units weatherized statewide. For PY 2018, 34% of the units weatherized, from July 1, 2018, through June 30, 2019, underwent a quality assurance inspection. For PY 2019, 34% (39 of 114) units reported underwent a quality assurance inspection through December 31, 2019. One unit did not pass the QCI.

Sub-grantees not adhering to SWS will be subjected to the Progressive Compliance Process, as stated in Section V.8.3 of this State Plan.

V.6 Weatherization Analysis of Effectiveness

Program monitoring is the principal method by which DCA can affect the management of any weatherization program, determine effectiveness and improve the quality of work. This process is multi-faceted from tracking, benchmarking and utilizing all data factors available such as spend down, units completed, energy savings, quality of energy audits, call backs, deferrals, etc. More details can be found in Section 8.3 Monitoring Activities of this State Plan.

NJ WAP provides sub-grantees with monthly production status reports. These reports provide each sub-grantee with an overview of their performance based on spend-down of funds and completion of units. Sub-grantees are evaluated and ranked among each other, utilizing the Performance Ranking System, as stated below. State Monitors provide sub-grantee status reports to WAP Supervisor that identifies problems, concerns, and recommended training needs on a weekly basis. State Monitors conduct reviews of energy audits every six months to ensure quality work is provided to clients.

Another mechanism used to determine the effectiveness of weatherization projects completed by Sub-grantees is the Weatherization Performance Rating System, which is summarized below. The Performance Rating System is designed to compare each Sub-grantee's actual performance against the contractual requirements and milestones with which the sub-grantee indicated acceptance, as evidenced by contract execution.

The rating system considers the following factors as required by 10 C.F.R. § 440.15(a) (3) (I-iv).

Rating Factor #1: The extent to which the Sub-grantee is meeting biannual benchmark goals. A Sub-grantee that completes its benchmark goals for its base award and subsequently is awarded additional funding will receive separate benchmark goals for its additional funding. The Sub-grantee will be responsible for proposing its own production schedule, within a reasonable timeframe, and at the approval of DCA, for any additional funding that the Sub-grantee is awarded. Sub-grantee will be responsible for only meeting its own benchmarks for the additional funding that it is awarded.

Rating Factor #2: The quality of work performed by the Sub-grantee (as determined by the percentage of units inspected which pass quality control inspections performed by Program Specialists (State Monitors).

Rating Factor #3: The extent to which the Sub-grantee submits required expenditure reports on a timely basis.

Rating Factor #4: Prompt payment to contractors in accordance with Chapter 6, Uniform Bid Process, and Contractor Relations.

The points awarded under this system are totaled (by Rating Factor) for each Sub-grantee bi-annually and annually. The annual totals provide a basis for comparing performance among Sub-grantees. This will be one of the criteria used to determine future funding allocations through a competitive funding application process.

Several of the rating factors referred to herein represent Sub-grantee - DCA contractual requirements. Violations of these contractual provisions will also trigger the Progressive Contract Compliance Process, which is summarized in the Monitoring Plan Section of this State Plan.

If a Sub-grantee's performance is deemed unsatisfactory, an open competitive bid will be released to identify a temporary Sub-grantee for that target area.

V.7 Health and Safety

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New Jersey's Health and Safety Plan (H&S Plan) is attached as an addendum to this State Plan and is in compliance with WPN 17-7.

NJ WAP HEALTH AND SAFETY Goals:

1. Minimize the risks from the provision of weatherization services that could negatively affect the health and safety of state staff, agency staff, contractors, and clients;
2. Recognize any hazards that could negatively affect the health and safety of the above participants in the weatherization process.
3. Avoid creating any health and safety hazards through the actions of agency staff or contractors and prevent the installation of materials that could have a detrimental effect on clients.
4. Do not harm clients because of any actions by agency staff or contractors being on-site at the client's home or through the aftereffects of installing tactics.
5. Educate clients about weatherization materials that could have a harmful effect on their health and proper maintenance of weatherization materials that will contribute to client safety.
6. Take corrective action when measures are approved by DOE as regular weatherization materials, health and safety measures, or incidental repairs. If DOE funds are not allowed, refer the client to appropriate public or private programs that can remedy the hazard(s) before weatherization can take place.

Deferral & Referral Policy

Agencies must postpone work when problems occur that cannot be remedied within the scope of allowable measures identified in this State Plan or other available funds. Building rehabilitation and hazard remediation work are beyond the scope of WAP. Units must be deferred if necessary corrective work is beyond the scope of this Plan.

Clients must be notified in writing within 7 business days of the site visit wherein a determination was made to defer the project due to H&S issues. The notification form can be found at https://www.nj.gov/dca/divisions/dhcr/offices/docs/wap/wap_3_deferral_notification.pdf shall include the reason(s) for deferral, any testing results, and appeal rights. Agencies are expected to make reasonable efforts on behalf of their clients to find alternative assistance when DOE funds are unable to address conditions that lead to deferral. When possible, the notice shall include a list of potential agencies with funding designed to address the specific H&S issue, which precludes a client from participating.

When a unit is deferred, Sub-grantee can submit the unit for review and consideration for possible weatherization through the WAP and Comfort Partners Partnership. Chapter 9 in the NJWAP Policy Manual will be dedicated to the Memorandum of Understanding (MOU) and partnership workflow process with Comfort Partners. WAP sub-grantees will seek a possible joint audit with Comfort Partners. If the unit does not meet the eligibility criteria for the Partnership Program, then the house would be deferred. The joint venture is limited to single-family-owner occupied households with natural gas or electric heating (1-4 units).

V.8 Program Management

V.8.1 Overview and Organization

The NJ WAP is located within DCA's Division of Housing and Community Resources (DHCR). The Division of Housing and Community Services consists of the following programs: Home Energy Assistance, Weatherization Assistance Program, Office of Community Services, and multiple housing programs such as Section 8, HUD-funded Community Development Block Grant and Disaster Recovery Program, etc.

NJ WAP consists of a Program Manager who oversees the day to day operation of the program. Four support staff is assigned to provide program support. These four individuals are responsible for responding to general program inquiries, processing income verification requests, receiving and funneling client complaints to Sub-grantees for corrective action, and providing program support to the Program Manager. There are 5 State Monitors assigned to monitoring, conducting quality control inspections, and providing technical assistance to Sub-grantees. The program unit reports to the Assistant Division Director of DHCR.

The Division's Fiscal Unit aids with fiscal processing activities such as processing grant agreements, vendor contracts, and payments to Sub-grantees.

The State Energy Program is located at another State Agency, the Board of Public Utilities. The NJDCA does not have administrative oversight for this program.

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V.8.2 Administrative Expenditure Limits

The total amount available to the Sub-grantees for administrative funds is at least 5% of the state's grant; however, any Sub-grantee that receives a grant of less than \$350,000 can be provided up to another 5% of their allocation for administrative expenses provided the Sub-grantee meets any one of the following criteria:

- a. Skills Development Needed - The Sub-grantee has one or more employees who have less than one full year of weatherization experience.
- b. Participation in Special Projects - The Sub-grantee is currently participating in any special project at the request of, or with the approval of, the State or Federal Weatherization Office (NJDOE or USDOE).
- c. Other Demonstrated Hardship - The Sub-grantee has demonstrated extraordinary hardship, the nature of which is so severe that it jeopardizes the ability of the Sub-grantee to operate an effective weatherization program at the five percent administrative level.

It has been the Sub-grantee's responsibility to set aside sufficient administrative funds to conduct financial audits meeting USDOE guidelines. Sub-grantees are required to submit an audit of USDOE funds in accordance with 2 C.F.R. Chapter I, Chapter II, Part 200, et al., as applicable.

V.8.3 Monitoring Activities

Program monitoring is the principal method by which DCA can affect the management of any weatherization program and improve the quality of work. NJ WAP will monitor each Sub-grantee to ensure that the program is being implemented as required by US DOE, 10 C.F.R. § 440, New Jersey Field Guide, and US DOE/NREL Standard Work Specifications (SWS), WPN 15-4 and in accordance with the guidelines set forth in the NJ WAP Policy and Procedures Manual. Monitoring activities include but are not limited to the following activities:

- Weekly Visits
- Quality Assurances Inspections of completed units
- Client File Reviews
- Energy Audit Reviews
- Annual Monitoring Visit
- Fiscal Monitoring
- Unscheduled Visits, i.e., inspections of work in progress for safe work practices, LSW, and other relevant factors.
- Production Tracking and Benchmarks
- Attendance at Bid Openings
- Inventory Reviews

NJ WAP ensures that each Sub-grantee continuously operates a quality weatherization program by providing on-site monitoring of both programmatic and fiscal management. The Program Monitoring Staff (State Monitors) is regularly accessible to each Sub-grantee to ensure regulatory compliance and to provide training and technical assistance. State Monitors are prepared to engage in problem-solving at every level, promote an understanding of the goals of the program, and develop strategies in concert with Sub-grantees to overcome various issues and problem areas. They also examine work schedules and reports, oversee the sub-contracting process, and generally evaluate Sub-grantee performance.

NJ WAP program monitoring staff offers planning aid and weekly on-site inspections of weatherized homes. They also examine work schedules and reports, oversee the sub-contracting process, and generally evaluate agency performance. Program monitoring is the principal method by which DCA can affect the management of any weatherization program and improve the quality of work.

The rates of inspections conducted by the State Monitors are based on the performance of the Sub-grantee. At a minimum, 25% of the completed units for each Sub-grantee are inspected by State Monitors. Based on the number of failures, State Monitors may conduct an inspection on more than 25% of the units per invoice.

New Sub-grantees must undergo 100% State Quality Assurances Inspections for a minimum of one year. State Monitors provide Sub-grantees with Final Inspection Form along with copies of the HESWAP Quality Control Form concerning failed units. Sample of both forms can be found in the Appendix of the Policy Manual.

State Monitors are required to inspect all jobs that have a total cost of less than \$800 for the crew- based agencies and less than \$1,000 for contractor

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installations. Units will not be approved if it is determined that effective weatherization jobs were not completed.

NJ WAP's monitoring tool tests the following: estimating, warehousing, product quality, craftsmanship, inventory, equipment, and vehicle maintenance, material installation, productivity, crew safety, reports, and public relations. Substantive assistance includes, but is not limited to, the following areas:

- Administrative and programmatic planning
- Planning outreach activities
- Intake and application process
- Workflow/reporting
- The energy audits
- Bidding
- Recruiting and selecting contractors
- Contract compliance
- Site clustering
- Inspecting the work
- Fiscal accountability

In addition to the weekly program monitoring, each Sub-grantee will also receive comprehensive monitoring of its administrative and fiscal operations by a contracted Certified Public Accounting firm. Through the CPA firm, a risk-based analysis will be conducted on each agency to establish that sound accounting practices are in place, which safeguards the agencies' funds as well as ensures compliance with all applicable State and Federal Regulations and OMB Circulars. A copy of the monitoring report is provided to the Sub-grantee within 30 calendar days after the completion of a visit by the CPA firm. Sub-grantees are required to provide a corrective action plan within 20 business days. NJ WAP monitoring staff will conduct follow-up visits within 30 days to ensure corrective action plan has been implemented.

Each Sub-grantee will be monitored at least once per year by the CPA firm. The monitoring visit examines the cash receipt, payroll, and cash disbursement components of each agency's fiscal operations. The fiscal monitoring process also includes a review of the following documents for each agency:

- Recent audit reports
- Organization charts
- Applicable board/committee meeting minutes
- Internal control standards and procedures manual
- Job descriptions of personnel charged to the Weatherization grant
- Schedule of current insurance
- Chart of general ledger accounts used to record weatherization transactions
- Fiscal reports
- Compliance to Historical Preservation
- Compliance on Pollution Occurrence Insurance
- Any significant correspondence

In New Jersey, the vast majority of the Sub-grantees hire private contractors to perform the weatherization work. This ensures that different entities complete the work (contractors) and inspect the work (Sub-grantee staff). The remaining Sub-grantees employ crews to complete the work. Separation is achieved by the entities that complete the work (laborers and crew supervisor) and inspect the work (cost-estimator or manager). Approximately 60% of the training and technical assistance funds are used for monitoring.

Training & Technical Assistance (T&TA) addresses all problems and potential problem areas that have an impact on the effectiveness of the weatherization effort. Many problems are significantly reduced through T&TA programs that are specifically oriented to solving identified problems and their causes.

The inspection rate for a Sub-grantee conducted by NJ WAP ranges from 25% to 100%. A total of 50% of the weatherized units will be inspected for Sub-grantees with substandard work as determined through quality control inspections until improvement has been demonstrated. All new Sub-grantees will undergo 100% State quality control inspection of weatherized units.

Progressive Compliance Mechanism

To avoid having to use the Progressive Compliance Mechanism steps, New Jersey staff implement several preventive techniques aimed at staving off compliance problems before they start. As with employee discipline problems, Sub-grantee compliance problems are rarely intentional. More often, they are a result of a lack of knowledge of how to complete projects and assignments within

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accepted standards. When a lack of knowledge is not responsible for the non-compliance issue, however, the following steps comprise the Progressive Compliance Mechanism.

Informal Discussion with Sub-grantee - Discuss the agency's actions in relation to required standards according to contract. Determine the reasons for non-compliance. Stress agency's responsibility to maintain standards. End the talk with acknowledgment of agency's (or manager's) previous cooperation and good work.

Oral Warning to Sub-grantee - Emphasize undesirability of agency's continued non-compliance and possible consequences if continued (for the agency, group, and program). Violation is discussed in a straightforward manner. Offer to assist the agency to correct the deviation. Stress to the agency that there must be an improvement in the future.

Written Notification of Contract Non-Compliance to Executive Director and Weatherization Manager - This notice contains a statement of the specific violation(s) and the contract provision referred to therein, the potential consequences of future violations, the specific action required to correct the deviation and the deadline for taking this action. The offer of assistance is repeated. This notice also summarizes two previous steps.

Suspension or Termination of Contract - This is a serious action taken in extreme cases where the violation is serious in nature and/or the previous three steps have not produced change.

Reduction of Grant Award - This is an interim measure taken to encourage agency change short of suspension or termination of the grant. This may be implemented for less serious deviations from the contract.

V.8.4 Training and Technical Assistance Approach and Activities

Recent advances in the field of building science underscore the need to upgrade the skills and equipment of the Sub-grantee staff. Significant energy conservation opportunities exist, which can only be addressed through instrumented building inspection techniques using furnace efficiency testing equipment, infiltration measurement devices, and under certain circumstances, infrared scanning equipment. Opportunities also exist to streamline and systematize weatherization program management functions through the introduction of computerized systems and electronic data transfer.

Staff turnover and the occasional appointment of new Sub-grantees also dictate that a core curriculum be developed to orient newcomers to the basics of the weatherization program; its goals, methods, and philosophy, as well as the practical job skills, required every day.

The management of the weatherization program at the local level requires expertise in a wide array of areas, including construction management, fiscal policy, client education, staff motivation, energy transfer theory, materials science, installation techniques, and related issues. In addition, Sub-grantees must operate their programs in accordance with a variety of governmental regulations and policies.

New Jersey has determined through experience that regularly scheduled meetings of DCA staff, and the staff of the Sub-grantees, are essential to the optimum performance of the weatherization program. The dissemination of written information between these meetings reinforces their applicability to the program.

The OLIEC proposes to continue its efforts in increasing the productivity, quality, and scope of the weatherization program by offering workshops and seminars targeting a wide range of subject areas. Training is mandatory for sub-grantees unless a sub-grantee can provide proof that training proposed has been undertaken prior to. Proof includes but not limited to registration confirmation and certificate of completion. Sub-grantees are required to provide on an annual basis to provide updates on certifications obtained and training undertaken that is not sponsored or required by NJ WAP. Sub-grantees failing to adhere to required training is subject to the Progressive Compliance, as stated in Section V.7.3 Monitoring Activities of this State Plan. As part of the Progressive Compliance Process, sub-grantees are advised that staff may not function unsupervised until training and certification requirements are met. Failure to adhere to this policy can result in the loss of grant funding.

NJ WAP provides sub-grantees with monthly production status reports. These reports provide each sub-grantee with an overview of their performance based on spend-down of funds and completion of units. Sub-grantees are evaluated and ranked among each other, utilizing the Performance Ranking System, as stated in Section V.5 Weatherization Effectiveness Analysis of this State Plan. State Monitors provide sub-grantee status reports to WAP Supervisor that identifies problems, concerns, and recommended training needs.

Since Program Year 2015, the Virginia Community Housing Partners (CHP) was contracted as the NJ WAP Training Provider. CHP has conducted the following training through January 1, 2019, through June 30, 2019:

- OSHA 10
- Whole House Field Mentoring, 4 days at each sub-grantee

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The Training Provider will continue to implement the weatherization training curriculum that is focused on the Standard Work Specifications (SWS) for Home Energy Upgrades for Single Family, Manufactured Housing and Multifamily Homes, and the New Jersey Field Guide SWS aligned. Training activities are intended to maintain or increase the efficiency, quality, and effectiveness of the NJ WAP at all levels.

Tier 1:

NJ WAP will continue to focus its training on securing certifications listed below:

Training Topic	Target Start Date
Crew Leader	By June 30, 2020
Installer	By December 31, 2020

Tier 1 refresher courses will be provided to sub grantees every year through group sessions or part of the Annual Conference.

Tier 2:

A training survey was conducted in December 2019 with the sub-grantees, and a follow-up conference call with 6 of the 12 sub-grantees was held on January 29, 2020, as a result of the ASCI Survey for New Jersey Sub-grantees requested that refresher courses be provided for existing staff. The top requested trainings are”

- Energy Auditor Training and Certification
- Refresher courses for – National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit (MHEA)
- Training on Hancock Energy Software for Weatherization Assistance Program (HESWAP)
- Heating, Ventilation and Air Conditioning (HVAC)
- Weatherization Assistance Program (WAP) Management
- Financial Management
- Infrared Camera
- Refresher course on Quality Control Inspection (QCI)
- Health and Safety

In addition, the sub-grantees identified the months of July and August as the best period for training.

Single focus training will continue as priority needs are determined in the field. Trainings listed above will be incorporated in the Spring 2020 Training Calendar.

The Annual Training Conference for NJ WAP and Home Energy Assistance Program scheduled for July 22-24, 2020 has been postponed due Covid-19. Conference Committee will meet to discuss and review conference agenda to transform sessions to either virtual trainings, small group sessions or individual agency trainings.

Funding Monitoring

67% of USDOE 2020 regular Training and Technical Assistance funds will be used at the State level for monitoring.

How T&TA funds are apportioned

USDOE T&TA funds are appropriated at the State level for salary and related expenses of Field Monitoring personnel and other OLIEC/DHCR staff (67%). Each Sub-grantee will be allowed to allocate \$20,000 for T&TA activities. The remaining T&TA funds will be held for Tier 1, Tier 2 training, and the Annual Conference.

Other funds for monitoring

Other funds for monitoring are derived from the USDHHS (LIHEAP Transfer) 2020 program.

Assessment of T&TA activities' effectiveness

The effectiveness of T&TA activities is measured through a survey of the training participants after each training event. Participant response to training offered to date has been positive as measured by this method.

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NJ WAP will, on a quarterly basis, solicit from the sub-grantees' opinions concerning their own training needs and incorporate responses into the training agenda on an ad hoc basis.

In addition, CHP, training provider, will provide quarterly Summary of Training Activities and Outcomes.

Client education is addressed by sub grantees during intake and throughout the process. Chapter 3 and Chapter 6 provides the protocols for client education and required documentation that must be maintained. Both Chapters can be found at <https://www.nj.gov/dca/divisions/dhcr/offices/wap.html>.

Percent of overall trainings

Comprehensive Trainings:	90.0
Specific Trainings:	10.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	75.0
Percent of budget allocated to Crew/Installer trainings:	15.0
Percent of budget allocated to Management/Financial trainings:	10.0

V.9 Energy Crisis and Disaster Plan

When disasters strike and in accordance with Weatherization Program Notice 12-07, NJ WAP funds are limited to eligible weatherization activities and the purchase and delivery of weatherization materials. NJ WAP will weatherize homes in accordance with program rules and regulations.

Acceptable uses of DOE WAP funding during Disasters:

1. Replacement of prior weatherization materials in compliance with 10 C.F.R § 440.18(f)(2) (ii), which permits replacement if the materials are not paid for by the insurance.
2. Incidental repairs to make the installation of weatherization materials effective in compliance with WPN 12-09 Incidental Repair Measure Guidance (debris removal is included in disaster replacement).
3. Cost to eliminate health and safety hazards necessary to the installation of weatherization materials.
4. Energy-related health and safety as identified in the NJ Health and Safety Plan outlined in Master File.

Health and Safety expenditure could be increased by DCA for crisis damaged units as applicable.