

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0007938		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address New York State 38-40 State Street Albany, NY 122070000	4. Program/Project Start Date 04/01/2020		
	5. Completion Date 03/31/2021		

**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	81.042	\$ 0.00		\$ 26,945,581.00		\$ 26,945,581.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 26,945,581.00	\$ 0.00	\$ 26,945,581.00

**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	\$ 505,312.00	\$ 0.00	\$ 87,346.00	\$ 0.00	\$ 592,658.00
b. Fringe Benefits	\$ 291,615.00	\$ 0.00	\$ 50,407.00	\$ 0.00	\$ 342,022.00
c. Travel	\$ 33,720.00	\$ 0.00	\$ 44,680.00	\$ 0.00	\$ 78,400.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 7,300.00	\$ 0.00	\$ 7,300.00
f. Contract	\$ 96,746.00	\$ 1,527,148.00	\$ 671,100.00	\$ 1,647,851.00	\$ 23,734,309.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 100,000.00	\$ 0.00	\$ 2,031,745.00	\$ 0.00	\$ 2,131,745.00
i. Total Direct Charges	\$ 1,027,393.00	\$ 1,527,148.00	\$ 2,892,578.00	\$ 1,647,851.00	\$ 26,886,434.00
j. Indirect Costs	\$ 50,430.00	\$ 0.00	\$ 8,717.00	\$ 0.00	\$ 59,147.00
k. Totals	\$ 1,077,823.00	\$ 1,527,148.00	\$ 2,901,295.00	\$ 1,647,851.00	\$ 26,945,581.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 26,945,581.00	\$ 0.00	\$ 26,945,581.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) FINANCIAL AUDITS	(4) LIABILITY INSURANCE	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 592,658.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 342,022.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 78,400.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 7,300.00
f. Contract	\$ 17,046,972.00	\$ 2,296,646.00	\$ 146,985.00	\$ 300,861.00	\$ 23,734,309.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 2,131,745.00
i. Total Direct Charges	\$ 17,046,972.00	\$ 2,296,646.00	\$ 146,985.00	\$ 300,861.00	\$ 26,886,434.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 59,147.00
k. Totals	\$ 17,046,972.00	\$ 2,296,646.00	\$ 146,985.00	\$ 300,861.00	\$ 26,945,581.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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3. Name and Address New York State 38-40 State Street Albany, NY 122070000		4. Program/Project Start Date 04/01/2020	5. Completion Date 03/31/2021

**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.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 26,945,581.00	\$ 0.00	\$ 26,945,581.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) LEVERAGING	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 592,658.00
b. Fringe Benefits	\$ 0.00				\$ 342,022.00
c. Travel	\$ 0.00				\$ 78,400.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 7,300.00
f. Contract	\$ 0.00				\$ 23,734,309.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 2,131,745.00
i. Total Direct Charges	\$ 0.00				\$ 26,886,434.00
j. Indirect Costs	\$ 0.00				\$ 59,147.00
k. Totals	\$ 0.00				\$ 26,945,581.00
7. Program Income	\$ 0.00				\$ 0.00

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WEATHERIZATION ANNUAL FILE WORKSHEET**

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**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Action for A Better Community Inc. (Rochester)	\$494,340.00 156
Adirondack Community Action Programs, Inc. (Elizabethtown)	\$148,915.00 47
Albany Community Action Partnership, Inc. (Albany)	\$424,596.00 134
Association for Energy Affordability (Bronx)	\$1,377,667.00 434
Bedford-Stuyvesant Restoration Corp. (Brooklyn)	\$606,628.00 191
Cattaraugus Community Action, Inc. (Salamanca)	\$478,940.00 151
CEO for the Greater Capital Area, Inc. (Troy)	\$357,452.00 112
Chautauqua Opportunities, Inc. (Dunkirk )	\$240,864.00 76
Columbia Opportunities, Inc. (Hudson)	\$148,915.00 47
Community Action of Greene County, Inc. (Catskill)	\$148,915.00 47
Community Action Planning Council of Jefferson County, Inc. (Watertown)	\$202,073.00 64
Community Development Corporation of Long Island, Inc. (Centereach)	\$1,319,038.00 415
Cortland County Community Action Program Inc. (Cortland)	\$148,915.00 47
Crown Heights Jewish Community Council (Brooklyn)	\$428,175.00 135
Delaware Opportunities, Inc. (Hamden)	\$288,523.00 91
Dutchess County Community Action Agency, Inc. (Poughkeepsie)	\$257,903.00 81
EOP Inc. of Chemung & Schuyler Counties (Elmira)	\$297,673.00 94
Fulmont Community Action Agency, Inc. (Fonda)	\$288,523.00 91
HANAC (Astoria)	\$821,270.00 258
Harlem Community Development Corporation (New York)	\$450,122.00 142
Housing Conservation Coordinators (New York)	\$310,699.00 98
JCEO of Clinton & Franklin Counties, Inc. (Plattsburgh)	\$288,523.00 91
Lewis County Opportunities, Inc. (Lowville)	\$148,915.00 47
Lt. Col. Matt Urban Human Services Center of WNY/PCCB (Buffalo)	\$200,322.00 63

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Margert Community Corporation (Far Rockaway)	\$512,095.00 161
Mohawk Valley Community Action Agency, Inc. (Utica)	\$551,731.00 174
Neighborhood Housing Services of South Buffalo, Inc. (Buffalo)	\$513,705.00 162
Niagara Community Action Program, Inc. (Niagara Falls)	\$351,682.00 111
Northern Manhattan Improvement Corp. (New York)	\$979,791.00 308
Northfield Community Local Development Corporation of Staten Island (Staten Island)	\$312,895.00 98
Northwest Bronx Community and Clergy Coalition (Bronx)	\$911,942.00 287
Opportunities For Chenango, Inc. (Norwich)	\$148,915.00 47
Opportunities for Otsego, Inc. (Oneonta )	\$148,915.00 47
Opportunity Development Association (Brooklyn)	\$892,266.00 281
Orleans Community Action Committee, Inc. (Albion)	\$288,523.00 91
Pathstone Corporation (Rochester)	\$552,769.00 174
People's Equal Action and Community Effort, Inc. (Syracuse)	\$929,401.00 292
Pro Action of Steuben and Yates, Inc. (Bath)	\$322,997.00 102
Regional Economic Community Action Program, Inc. (Middletown)	\$456,846.00 144
Saratoga County Economic Opportunity Council, Inc. (Ballston Spa)	\$443,939.00 140
Schoharie County Community Action Program (Cobleskill)	\$148,915.00 47
Seneca County Office of the Aging (Waterloo)	\$148,915.00 47
St. Lawrence County Community Development Prog. (Canton)	\$233,218.00 73
Stoneleigh Housing Inc. (Canastota)	\$148,915.00 47
Sunset Park Redevelopment Corporation (Brooklyn)	\$901,034.00 284
Supportive Services Corporation (Lancaster)	\$849,764.00 267
Tioga Opportunities Program, Inc. (Owego)	\$493,696.00 155
Tompkins Community Action (Ithaca)	\$152,095.00 48
Ulster County Community Action Committee, Inc. (Kingston)	\$204,737.00 64
Warren-Hamilton Counties Action Committee for Economic Opp (Glens Falls)	\$288,523.00 91

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Wayne County Action Program, Inc. (Lyons)	\$386,478.00 122
Westchester Community Opportunity Program, Inc. (Elmsford)	\$813,855.00 256
<b>Total:</b>	<b>\$22,966,463.00</b> <b>7,232</b>

#### IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	7,232
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	7,232
C	Total Units Rewatherized	00
D	Total Dwelling Units to be Weatherized and Rewatherized (B + C)	7,232
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	\$17,046,972.00
G	Total Dwelling Units to be Weatherized and Rewatherized (from line D)	7,232
H	Average Program Operations Costs per Unit (F divided by G)	\$2,357.16
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$2,357.16

#### 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	7232	29.3	211898
Prior Year Estimate	7617	29.3	223178
Prior Year Actual	2837	29.3	83124
<b>Method used to calculate savings description:</b>			
The DOE algorithm was used to estimate energy savings.			

#### IV.4 DOE-Funded Leveraging Activities

<b>IV.4 Leveraging and Coordination with Other Programs</b>  <p>Subgrantees provide a variety of services for low-income clients as a part of their overall mission, and they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. HCR actively supports leveraging and coordination with other programs to supplement funding for the Program.</p> <p>DOE guidance permits grantees to use a portion of the grant to undertake leveraging activities, to generate additional non-Federal resources for Weatherization. HCR</p>
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intends to use Program funds for this purpose in 2020. HCR estimates that subgrantees will leverage approximately \$10.1 million in other funds in 2020, including \$5.7 million in owner contributions, which DOE excludes from its definition of leveraged funds.

The New York State Public Service Commission will continue to implement the energy initiative known as Reforming the Energy Vision, or REV, to address challenges to the energy industry brought about by aging infrastructure, increasing use of distributed energy resources, climate change and other factors. REV is intended to reform the regulatory environment and transform markets for efficiency and renewables. The Commission recognizes that low-income residents are particularly vulnerable to these challenges and has ordered that REV and related proceedings address low-income needs. In response, New York State Energy Research and Development Authority (NYSERDA) has instituted a Clean Energy Fund that will address these issues, including initiatives that target low-income residents.

- HCR is working with the Commission, NYSERDA and other agencies to help ensure that needs of low-income clients are addressed through coordination of the Program with other funds and programs where possible, and to streamline delivery of all low-income programs available in the State. The following are examples of leveraging efforts HCR currently supports:
- New York supplements weatherization with a transfer of a portion of its allocation of HEAP funding. In program year 2020, HEAP funds are expected to provide more than 60 percent of the funding for the Weatherization Assistance Program in New York.
- NYSERDA administers several efficiency programs that assist low-income households and provides additional opportunities for subgrantees to leverage Program funding. The additional services provided through these programs include electric reduction measures such as energy-efficient appliance replacement, lighting replacement and retrofits, electric domestic water heater measures, cooling usage reduction, energy-efficient motor replacement and retrofit, and energy education activities. New York is committed to providing additional support to mitigate the impact of changing energy markets on low-income households.
- WAP will partner with the New York State Housing Trust Fund, which is allocating up to \$7 million to target certain types of housing portfolios that are considered a priority for HTFC, specifically its Section 8 Performance Based Contract Administration portfolio. This initiative, called Weatherization Preservation Plus (P+), will combine designated state funds for physical building improvements with WAP energy efficiency upgrades in buildings identified as needing deep, comprehensive retrofits. \$2 million has been set aside from WAP funds for P+ and additional funds may be added as needed. (See Appendix C.)
- Although mandatory owner contributions are not considered leveraged funds by DOE, New York's owner investment policy is expected to generate more than \$10 million in owner investments during Program Year 2020.
- An interagency referral program has been established in conjunction with the New York State Office of Temporary and Disability Assistance (OTDA), the State Office for the Aging, and local departments of social services and area aging agencies. These agencies will be encouraged to continue to refer clients to subgrantees for priority service. This program reduces subgrantee overhead since some of the referred clients are considered categorically income eligible, since they have already been determined eligible for other programs such as HEAP, and provides access to other programs administered by the two agencies.
- OTDA operates an emergency heating repair/replacement program for HEAP clients, and HCR encourages subgrantees to coordinate with that program, when possible. This work can expand the scope of services to low-income households, to provide additional opportunities to reduce heating expenditures and address health and safety concerns for this population.
- HCR has initiated an enhanced health and safety effort to promote coordination between Program subgrantees, state and local health departments and administrators of housing rehabilitation and lead hazard control programs. This initiative, aligned with the national Healthy Homes initiative, is expected to provide additional benefits to assisted households and may provide additional funding opportunities for subgrantees.
- HCR has implemented a program that targets smaller buildings owned by New York City Housing Authority in Brooklyn and Queens. This initiative will continue in PY 2020. The work is being done in conjunction with a demand-management program offered by Consolidated Edison, intended to reduce peak load in vulnerable parts of those boroughs.
- HCR's Office of Housing Preservation is also increasing coordination of Program resources with the HCR Office of Community Renewal to provide comprehensive weatherization services and additional repair and rehabilitation work through the HOME Program. Local HOME Program Administrators are now required to coordinate with subgrantees when funding rehabilitation of income-eligible buildings. In turn, those subgrantees will be asked to work with local HOME administrators to target properties where an expanded work scope is necessary to avoid deferral of a unit due to health and safety conditions that cannot be addressed with Weatherization funds.
- The State has convened an Interagency Task Force on energy needs composed of HCR, the Department of Public Service, OTDA, NYSERDA and the Governor's Office for Energy Finance. The Task Force is developing strategies to address energy affordability within the State, to achieve the goals of the NYS Climate Leadership and Community Protection Act, and to utilize disparate funding streams in a coordinated, targeted fashion to more holistically address the energy needs of low-income communities and improve outcomes for low-income households.

**IV.5 Policy Advisory Council Members**

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

Andrew F. L. Padian	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 2128695300 Email: <a href="mailto:apadian@communitytp.com">apadian@communitytp.com</a> Type of organization: Non-profit (not a financial institution)
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Andrew Stone	Contact Name: Phone: 5186900494 Email: <a href="mailto:astone@nswda.org">astone@nswda.org</a>
Charles Quinn	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 8453423978 Email: <a href="mailto:cquinn@recap.org">cquinn@recap.org</a>
Crown Heights Jewish Community Council, Inc.	Type of organization: Contact Name: Avi Kamman Phone: 71877190007717 Email: <a href="mailto:avik@chjcc.org">avik@chjcc.org</a>
Daniel Reiber	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 2125689166 Email: <a href="mailto:danrieber@nmic.org">danrieber@nmic.org</a>
David Hepinstall	Type of organization: Local agency Contact Name: Phone: 2122793902 Email: <a href="mailto:hepinstall@aeanyc.org">hepinstall@aeanyc.org</a>
Delaware Opportunities, Inc.	Type of organization: Contact Name: Joseph Maggiore Phone: 6077461690 Email: <a href="mailto:doweather@delawareopportunities.org">doweather@delawareopportunities.org</a>
Elizabeth Spira	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 8454525104 Email: <a href="mailto:espira@dutchesscap.org">espira@dutchesscap.org</a>
JoAnn Zales	Type of organization: Utility Contact Name: Phone: 5187615942 Email: <a href="mailto:joann.zales@nationalgrid.com">joann.zales@nationalgrid.com</a>
Joseph Barden	Type of organization: Local agency Contact Name: Phone: 7184713724 Email: <a href="mailto:jgb@margert.org">jgb@margert.org</a>
Mr. Charles Brennan, Attorney at Law	Type of organization: Contact Name: Phone: 9174495055 Email: <a href="mailto:chrlsbrnln@aol.com">chrlsbrnln@aol.com</a>
New York State Community Action Association	Type of organization: Contact Name: Jacqueline Orr Phone: 518690049124 Email: <a href="mailto:jorr@nyscommunityaction.org">jorr@nyscommunityaction.org</a>
New York State Energy Research & Development Authority	Type of organization: Unit of State Government Contact Name: Christopher Coll Phone: 51886210903425 Email: <a href="mailto:Christopher.Coll@nyserda.gov">Christopher.Coll@nyserda.gov</a>
NYS Department of Labor	Type of organization: Unit of State Government Contact Name: Tony Joseph Phone: 5184570385 Email: <a href="mailto:Anthony.Joseph@labor.state.ny.us">Anthony.Joseph@labor.state.ny.us</a>
NYS Department of Public Service	Type of organization: Unit of State Government Contact Name: Monica Ferreri Phone: 5184748251 Email: <a href="mailto:monica.ferreri@dps.ny.gov">monica.ferreri@dps.ny.gov</a>
NYS Department of State	Type of organization: Unit of State Government Contact Name: Becky Parsons Phone: 5184744301 Email: <a href="mailto:becky.parsons@dos.ny.gov">becky.parsons@dos.ny.gov</a>



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NYS Office of Temporary & Disability Assistance	Type of organization: Unit of State Government Contact Name: Andrew Bryk Phone: 5184863591 Email: <a href="mailto:andrew.bryk@otda.state.ny.us">andrew.bryk@otda.state.ny.us</a>
NYS Office of the Aging	Type of organization: Unit of State Government Contact Name: Linda Petrosino Phone: 5184081696 Email: <a href="mailto:Linda.Petrosino@aging.ny.gov">Linda.Petrosino@aging.ny.gov</a>
People's Equal Action and Community Effort, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Sally Ward Phone: 3154703315 Email: <a href="mailto:sward@peace-caa.org">sward@peace-caa.org</a>
Tina Zerbian	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 716945104111 Email: <a href="mailto:tzerbian@ccaction.org">tzerbian@ccaction.org</a>
Wendell Rice	Type of organization: Local agency Contact Name: Phone: 7186366919 Email: <a href="mailto:wrice@restorationplaza.org">wrice@restorationplaza.org</a>

**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
01/09/2020	Notice of hearing published on HCR web site, through an email blast and in the Albany Times Union on Monday, December 23rd.

**IV.7 Miscellaneous**

Pursuant to 10 CFR Part 440.14 (1), HCR followed a public process to receive input on the proposed State Plan. Prior to the issuance of the draft Plan, all current subgrantees and the Policy Advisory Council were given the opportunity for input towards its development. A public hearing on the 2020 State Plan was held on January 9, 2020, with public notice provided more than 10 days prior to the hearing date. The hearing was conducted by video conference to enable speakers to present testimony from HCR's Albany, Buffalo, Syracuse and New York City offices. Copies of the hearing notice were distributed and made available on the HCR web site at <http://www.hcr.ny.gov>.

Copies of the proposed State Plan were emailed to all current subgrantees and to other interested parties and made available for inspection at the hearing locations and directly from Homes and Community Renewal, Weatherization Assistance Program, 38-40 State Street, Albany, New York 12207. The draft Plan was available on the HCR web site at <http://www.hcr.ny.gov>, as is the final version. Comments on the plan were accepted through the date of the public hearing

**Policy Advisory Council**

Pursuant to 10 CFR Part 440.17, HCR has established a Policy Advisory Council (PAC) to assist in the development and operation of the Program and provide advice in the development of the State Plan. The PAC is broadly representative of subgrantees, energy advocates, State agencies, and other organizations that represent low-income persons in New York. PAC members are well-versed in energy and housing issues. A list of current PAC members and their affiliation is included in the Annual File.

During the program year, the PAC will meet quarterly, with agendas covering a range of issues of concern to subgrantees, low-income clients, and program partners. HCR typically provides updates on funding, program rules, coordination with other programs, and related issues at PAC meetings. When needed, additional meetings will be scheduled.

**Subgrantee Task Force**

A Subgrantee Task Force, comprised of subgrantee weatherization directors and staff, has been established to provide opportunities for subgrantees to meet with their peers and HCR staff to discuss program implementation and identify and resolve any program concerns. Typically, three Subgrantee Task Force meetings are held in each region each year. In 2020 HCR will continue to provide subgrantees opportunities for input on program operations, including review of any proposed changes to the State Plan and the Policy and Procedures Manual, and to propose actions in response to the results of the American Customer Satisfaction Index (ACSI) survey of subgrantees that was conducted on DOE's behalf in 2019.

New York State WAP has begun addressing issues raised in the 2019 ACSI. Since the widespread issue raised by the subgrantees was inadequate communication from the State to the subgrantees, the State has pledged to better inform the subgrantee network and PAC of proposed changes in policies and to

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seek their input in redrawing them. In developing policies, the State seeks to include the subgrantees in a more active role: for example, the PAC and subgrantees were given the opportunities to contribute to the development of the State Plan before the draft Plan was formed. The State has also begun sending policy directives that it receives from the DOE directly to the subgrantees. The State will more promptly provide its subgrantees critical information on funding, policy changes, and technical developments that they need for planning and budgeting.

A Steering Committee has also been established to target specific issues within the program and to make recommendations for improvements. The Committee is made up of representatives from the subgrantees state-wide and the training and technical assistance partners. It meets and addresses topics on an as-needed basis. This is another way HCR is addressing the concerns raised in the ACSI.

Recipient Business Officer: Mark Colon; [mark.colon@nyshcr.org](mailto:mark.colon@nyshcr.org); 212-480-6707

Recipient Principal Investigator: Dan Henkin; [dan.henkin](#); 212-872-0570

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**STATE PLAN/MASTER FILE WORKSHEET**

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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

**Income definition**

HCR has developed a rigorous process to ensure that assisted units meet the eligibility requirements of 10 CFR 440.22(a), with respect to income eligibility. These procedures are described in detail in Sections 3.05.01-06 of the NYS Weatherization Assistance Program Policy and Procedures Manual (PPM). Briefly, subgrantees are required to collect third-party documentation from each assisted household to confirm income and must keep documentation on file to support eligibility determinations. Some households are deemed categorically eligible based on documentation that they receive TANF, HEAP, SNAP or certain other forms of government assistance.

Income eligibility is verified using one of three methods, depending upon the type of building or whether the household is claiming categorical eligibility: 1) households that reside in buildings that have received assistance from certain HUD programs are considered eligible for Program assistance without additional documentation (pursuant to DOE Notice WPN 17-4); 2) households residing in any other building that claim categorical eligibility by participation in another assistance program that has eligibility requirements that are as restrictive as those of the Program must provide documentation from the administrator of the other program establishing participation; or, 3) all other households must provide third-party documentation of income (i.e., pay stubs, statements from income providers) to support income claimed.

Describe what household eligibility basis will be used in the Program

**Eligibility basis**

HCR has adopted the income eligibility guidelines used in the State's HEAP Program as the standard for the Program for households with six or fewer persons. This limit – 60% of State median income – is higher in New York than the 200% of poverty option for households with fewer than seven persons, provides opportunity for participation by more households in the State and facilitates coordination with HEAP. For families of 7 or more persons, the 200% of poverty level is higher than 60% of State median income, and HCR sets the eligibility threshold for those households at the higher (200% of poverty) level. This threshold has been selected in accordance with Federal HEAP rules (Public Law 9735, Sec. 2605(b)(2)(B) and with 10 CFR 440.22(3)). Under these criteria, more than 3.5 million persons in New York State who reside in 2.1 million households are eligible for program services.

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

**Qualified aliens**

HCR's weatherization application form requires applicants to affirm that all members of the household are citizens or legal aliens entitled to receive federal government assistance.

**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

**Eligibility documentation**

HCR requires that both household income eligibility and building eligibility are established before any work is done on a building. Building eligibility is confirmed prior to the start of an energy audit. Building owners must provide documentation to confirm ownership of the building to be assisted (such as tax payment receipts, copies of deed, or certain other forms). Procedures for confirming eligibility in buildings with rental units and in certain other types of buildings are described below. More detail on building eligibility can be found in Section 3 of the PPM.

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**Historic Preservation**

HCR has entered into a programmatic agreement with NYSEDA and the New York State Office of Parks, Recreation and Historic Preservation to facilitate historic reviews of projects assisted with Program funds. The agreement covers the 2020 Program Year.

Describe Reweathering compliance

**Re-weatherization**

Units assisted with Program funds after September 30, 1994 are not eligible for additional program assistance. In cases where a previously assisted unit has been damaged by fire, flood or other natural disaster, assistance can be provided with prior approval from HCR. Generally, assistance will only be provided to pay for damage not covered by insurance. HCR rules for re-weatherization can be found in Section 6.05 of the PPM.

Describe what structures are eligible for weatherization

**Eligible structures**

Program assistance is provided to all types of residential structures, including eligible single- and multi-family buildings, manufactured housing (mobile homes), group homes, homeless shelters, temporary housing facilities designed to transition persons with special needs into permanent housing, and mixed-use buildings that contain eligible residential units. Building eligibility requirements are detailed in sections three and four of the PPM. Only those structures that can be legally occupied as housing under New York State law, meet all other eligibility requirements and are in such condition that weatherization measures can be installed in a safe and effective manner are eligible for assistance.

HCR permits subgrantees to assist shelters and group homes; in those buildings, the cost per unit is calculated on a square-footage or per-story basis. In the case of eligible dwelling units which meet the definition of "shelter," dwelling units will be calculated based upon either (a) each 800 square feet of floor space; or, (b) each story of the building which is used as a living area.

Describe how Rental Units/Multifamily Buildings will be addressed

**Rental units and multifamily buildings**

Most low-income people in New York State live in rental housing. While much of the rental housing stock is sound, and HCR has made considerable investment in decent, affordable housing, a large percentage of the units occupied by eligible households have significant need for energy efficiency investment. Rental housing provides significant opportunity to save energy, but assisting rental housing presents unique challenges.

HCR has extensive experience in providing weatherization assistance to rental buildings, including older masonry-construction centrally-heated multifamily buildings of the type common in much of New York City. Procedures that New York State developed for the Weatherization Program have helped form current DOE policy on assisting multifamily and other rental properties.

HCR requires subgrantees to obtain applications from each tenant in a rental project that has applied for Program assistance before investing any funds in the project (except for certain federally-assisted projects that are determined eligible following the procedures outlined in DOE Notice WPN 17-4). Subgrantees may only invest Program funds in rental buildings containing five or more units after they have established that 66% or more of the dwelling units in the building are occupied by eligible households. In rental projects where the energy audit indicates that significant energy savings can be expected to result from Program assistance, and in buildings containing two, three or four units, at least 50% of the dwelling units must be occupied by eligible households.

For buildings that are determined eligible pursuant to WPN 17-4, subgrantees are required to retain the Property Occupancy Report for each building and confirming emails from HUD to demonstrate eligibility. For any multifamily building, the subgrantee may only count vacant units towards the 50% or 66% threshold when the building has been assisted by a Federal, State or local government program for rehabilitating the building or making similar improvements to the building and the units will become eligible dwelling units within 180 days following completion of the project.

HCR procedures also require that:

- Written permission of the building owner is received before any work commences;
- Benefits of Program assistance primarily accrue to the low-income tenants residing in the rental units;

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- Qualified households in assisted buildings are not subjected to rent increases (unless those increases are demonstrable related to matters other than the weatherization work that was installed);
- Tenants and owners are notified in writing of their rights and the procedures tenants may follow to complain or appeal should improper rent increases occur;
- No undue or excessive enhancement of the value of the assisted building results from installation of weatherization materials with Program funds;
- Owners of assisted rental buildings agree in writing to restrictions on their use of the building after Program funds are invested; and,
- Owners of assisted rental buildings participate in the financing of weatherization activities, with certain exceptions, as described below.

In accordance with Federal rules and guidance intended to limit undue or excessive enhancement of the value of multifamily rental units resulting from investment of Program funds, HCR requires most owners of multifamily rental property to contribute to the cost of the weatherization work scope as a condition of receiving assistance. Generally, multifamily building owners must provide 25% of the total cost of the work to be done to meet Program standards, as follows:

- For multifamily buildings that do **not** meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law (typically, projects that are regulated as affordable housing) and which have fewer than five units, the owner must make an investment of no less than 25% of the estimated cost of completing the work scope, unless the building is occupied by the owner as his or her primary residence and the owner qualifies for WAP assistance as a low-income household.
- For multifamily buildings that do **not** meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law and which have five or more units, the owner must make an investment of no less than 25% of the estimated cost of completing the work scope. In cases where providing this level of investment will provide a hardship, or where a rental property is known to be in financial distress, HCR may permit the subgrantee to reduce or waive the owner investment requirement, with prior approval by the HCR regional supervisor.
- For multifamily buildings that **meet** the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law, a reduced owner investment of 15% of the estimated cost of completing the work scope will be allowed to help maintain the supply of affordable housing in the State. HCR provides training, technical assistance and other support to maximize inclusion of assisted rental housing in the Program.

Owners of rental property who are eligible for the Program and occupy one of the units in the building to be assisted are not required to provide a financial or in-kind contribution towards the work scope.

HCR requires that subgrantees enter into a written agreement with owners of rental buildings that will receive Program assistance, using a form provided by HCR, before any funds are invested in a project. The agreement names tenants as third-party beneficiaries of the agreement, to establish certain rights. Tenants are provided with a synopsis (Form HCR-9) that explains these rights and the enforcement procedures. Naming the tenant as a third-party beneficiary provides the tenant with recourse in the legal system if a building owner violates the terms of the agreement. In practice, a letter reminding the owner of the terms of the agreement with the subgrantee is generally sufficient to resolve an adverse situation in favor of the tenant. This process reduces the need for monitoring by the State without placing undue burden on subgrantees or owners.

Subgrantees are monitored to ensure that low-income renters – particularly those living in smaller, privately-owned buildings – are provided with the same opportunity to access Program services as all other households. Additional information on subgrantee monitoring is provided in Section 5.8.3, below. More detail on rental housing procedures is included in Sections 3 and 4 of the PPM.

As indicated in V.5.1 below, HCR is in the process of updating its PPM, which may alter or eliminate some of these policies in the near future.

Describe the deferral Process

#### **Deferral process**

HCR prohibits subgrantees from investing funds in any building where legal, financial, structural or safety impediments exist that would compromise eligibility or place occupants or workers in an unsafe or unhealthy situation. Section 6.01 of the PPM (“When Not to Weatherize”) lists 16 common situations that may warrant deferral and provides subgrantees with guidance on how to handle those situations. When a subgrantee determines that assistance must be deferred for health or safety reasons, they must issue the HCR Health and Safety Notice (Form HCR-15) and obtain signatures of the owner and occupant on the form, if possible. The subgrantee is also expected to inform occupants and owners of any resources that may be available to resolve the problem.

In cases where assistance to a unit is deferred for other reasons (such as a pending sale) subgrantees are required to notify the owner and any affected tenants in writing and inform them that the application will be kept active for a specified period or until the issue is resolved, whichever comes first.

#### **V.1.3 Definition of Children**

Definition of children (below age): 17

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**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.

Assistance is made available to all low-income residents of the State without regard to tribal organization status, to the extent that funding is available. Additional funds are allocated to counties with large Native American reservations.

**V.2 Selection of Areas to Be Served**

**Areas to be Served**

All areas of the State will be served. HCR allocates funding for each county in the State using a formula that considers climate and share of low-income households. Funding is also reserved to provide a minimum allocation to ensure service to each county where the formula does not otherwise generate sufficient funding to feasibly operate a program.

HCR designates a subgrantee to provide weatherization services in each county in the State. In urban areas, subgrantee service areas are typically a portion of a county, while in rural areas subgrantee service areas often cover one or more entire counties. Each community in the State is served by one, and only one subgrantee.

Housing in New York is generally older than elsewhere in the nation. According to the US Census, more than 5.6 million housing units in New York were built before 1970. That's nearly 70% of the State's total housing stock. Nationally, just 41% of the housing stock was built before 1970. This means that most housing in the state was built at a time when energy costs were low and modern energy-efficiency construction methods were not used.

New York's households are also more likely to live in rental housing than in any other state. Census data shows that 45.5% of the occupied housing units in the State are rental. Most households in New York that are eligible for weatherization assistance live in rental housing. While 20% of the State's owner households have annual incomes less than \$35,000, more than 50% of the State's renter households have annual incomes less than \$35,000.

Households with incomes below the poverty level are especially likely to live in rental housing and to live in older units. While just five percent of owner households have incomes below the federally-established poverty level, fully 24% of renter households have incomes at this level, and 77% of those households live in housing built before 1970.

Census data also show that utility-supplied gas is the most commonly used fuel. About 57% of owner households and 54% of renter households heat with utility gas. About 28% of households in the state heat their homes with oil, but households in rental units are far more likely to heat with expensive electricity than owner households. More than 70% of all units that heat with electric are rental units; these units are home to more than 510,000 households. Our experience suggests that electrically-heated rental units are often located in multifamily housing built in the 1960s and 1970s. Given the high costs of electricity in New York, and the likelihood that many of those units were built using inferior energy conservation techniques, this is a significant concern.

There are regional differences in utility usage. Generally, Western and Central New York are more reliant on utility gas, and the Eastern parts of the State are more likely to use oil. For example, in the Buffalo Metropolitan Statistical Area (MSA), 89% of all housing units heat with utility-supplied gas, but in the Albany MSA just 60% heat with gas. In New York City, which has a predominance of large multi-family buildings, about 39% of all units are heated with oil.

These regional differences are not consistent by tenure. While owners in Albany and Buffalo are about as likely to heat with gas as renters, in New York and Syracuse renters are much less likely to use gas, which means higher heating costs. In New York, more heat with oil, but in Syracuse more than 29% of all rental units are heated with electricity. In non-metropolitan areas, where more than 70% of all housing units are owner-occupied, oil and gas both account for about one-third of the fuel used in all units, and electrically-heated units are more common, especially among renter households.

These data, when considered together with New York State's harsh climate and high energy costs, show that the needs for energy efficiency are different for rental and owner housing, and vary according to location. Because of this diversity, New York has developed procedures to target assistance to those most in need, using methodologies that are best suited to conditions within the State.

**V.3 Priorities**

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**Priorities for Assistance**

Priority for weatherization assistance is given to households with children, elderly persons and persons with disabilities. Priority is also given to applicants for assistance that pay more than 6% of their income for utilities and to households that receive assistance through the State's Home Energy Assistance Program (HEAP). For the purposes of the Program, these applicants are considered High Energy Burden households.

HCR has established a referral process to facilitate assistance to households that are clients of local offices for the aging and county HEAP providers (typically departments of social services). HCR will continue to encourage subgrantees to prioritize assistance to properties where other State or Federal housing resources can be leveraged, where occupants of those properties also meet one or more of the other priorities listed above.

**V.4 Climatic Conditions**

**Climactic Conditions**

The climate of New York varies from temperate coastal to cold mountainous conditions. Climate is a key element in the formula used for allocation of program funds. Climate severity is measured in degree days, which are an indicator of how much fuel will be necessary on any given day to maintain comfortable conditions in a home. Data on degree days is compiled on an annual basis by the National Climate Data Center. The allocation formula (see Section 2.1) uses 30-year averages for annual degree days to indicate the relative severity of climate in New York locations and its impact on low-income housing affordability.

**Average Heating and Cooling Degree Days 1971-2000**

Location	Heating Degree Days	Cooling Degree Days
Albany	6860	206
Buffalo	6692	202
New York City	4754	604
Plattsburg	7817	132
Syracuse	6803	195
Long Island	5357	371

Source: National Oceanic and Atmospheric Administration

Each DOE-approved energy audit that HCR uses considers climactic variances within the State to determine cost-effectiveness of measures proposed for individual buildings. Subgrantees analyze buildings using approved energy auditing software that includes region-specific data on climate. These data files are then considered in calculation of the savings-to-investment ratio for each measure.

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

**V.5.1 Technical Guides and Materials**

**Type of Weatherization Work to be Done**

HCR permits subgrantees to conduct activities that are authorized by Program rules and guidance. Any material listed in Appendix A of 10 CFR Part 440 may be installed, provided the measure has been determined to be cost-effective pursuant to the protocols set forth by DOE, is based on an analysis of the building (see Section V.5.2, below) and can be installed in a safe manner without compromising the health or well-being of occupants of the dwelling unit. Generally, work conducted in assisted buildings includes air sealing, insulation, heating system repairs, window or furnace replacement, electric base load reduction measures, and work items that mitigate energy-related health and safety hazards. Other than health and safety work, only those measures with a savings-to-investment ratio of 1.0 or greater can be installed by subgrantees. In other words, the cost of installing an energy conservation measure in a building must not exceed the savings that can be expected during the expected life of the installed work.

HCR permits replacement of incandescent lighting with LED bulbs or fixtures as electric base load reduction measures, pursuant to approval received from DOE in 2015. Their use and implementation will follow established program protocols for lighting, including the requirement of meeting a savings-to-investment ratio (SIR) of 1.0 based upon an established minimum run time.

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HCR encourages use of renewable energy systems, alternative energy sources, and other “green” practices in its housing and energy programs. HCR will consider installation of renewable energy systems and green building materials on a case-by-case basis, or as part of a pilot program when proposed by subgrantees. Installation of renewables will only be permitted when consistent with DOE guidance and justified by an SIR of 1.0 or greater, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A, or otherwise be approved by DOE for use in the program. Subgrantees proposing installation of renewable energy systems will be required to obtain prior approval from the appropriate HCR regional supervisor. HCR will then obtain prior approval from DOE before authorizing any sub-grantee to use WAP funds for such measures.

Where feasible, HCR will encourage subgrantees to coordinate installation of weatherization materials with replacement of heating systems in buildings that can be converted from oil or other delivered fuels to natural gas or electric heat pumps. HCR is participating in an initiative sponsored by the NYS Public Service Commission to explore cost-saving opportunities associated with expansion of natural gas service to residences in the State that are not currently served by gas.

All weatherization activities not included in the list of Categorical Exclusion activities in Section 2.6 of WPN 17-1 will require an Environmental Questionnaire (EQ-1) submission for review.

WAP recognizes that many subgrantees rely on vehicles that have been in service for a long time and may be at or near the end of their useful life. In Program Year 2020, WAP encourages subgrantees to replace aged vehicles if necessary and will work with DOE to seek approval for replacements. Although the money spent on replacement vehicles reduces the amount available for weatherizing homes in the short term, this action will benefit WAP for several years by making subgrantee operations more efficient.

#### **Technical Guides and Materials**

##### **Policy and Procedures Manual**

The PPM sets forth specific guidelines that subgrantees must follow in administering the program. The PPM is an attachment to the written agreement between HCR and the subgrantee and subgrantees are bound by signing the agreement to comply with the PPM. Subgrantees that don’t comply can be found to be in default of the agreement, and risk losing funding. The PPM covers administrative procedures; building and household eligibility; building analysis (energy audit) procedures, including health and safety protocols; deferral guidelines; reporting and payment procedures; and, procurement and fiscal requirements. Section 5 of the PPM also provides specific technical guidance to subgrantees on work standards and related protocols, including guidance on multifamily work scope development, building assessment and health and safety issues. The PPM is available on the HCR web site through the following link: <https://hcr.ny.gov/weatherization-providers#provider-information>. The PPM is being revised and updated for the 2020 Program Year.

##### **Weatherization Field Guide**

HCR has also issued the New York State Weatherization Field Guide for use by subgrantee crews and auditors. This field guide, which incorporates information from several different standards including the Standard Work Specifications for Home Energy Upgrades (SWS), provides on-site guidance to subgrantees in the installation of measures and other technical aspects of the program.

HCR updated the New York State Weatherization Field Guide in 2018 to meet requirements included in DOE guidance on maintaining work quality (WPN 15-4). The Field Guide is published through an agreement with Saturn Resource Management. A copyright protected version of the New York State Weatherization Field Guide is available to all NYS WAP subgrantees through the HCR Weatherization website: <https://hcr.ny.gov/weatherization>.

All subgrantees have been provided access to the Field Guide and are familiar with the specifications, objectives and desired outcomes outlined in the SWS for single family, multifamily and manufactured housing.

HCR will continue to provide subgrantees comprehensive field standards and training (see Section V.8.4, below) outlining requirements for work scope development and work quality that will meet or exceed the minimum standards found in the SWS. Subgrantees will also be provided with any revised technical requirements for building assessment (energy audits), installation of energy efficiency and health and safety measures and procedures for conducting final inspections in support of the quality work plan. These requirements will be referenced as a part of the agreement with each subgrantee to provide a mechanism for compliance.

##### **Subcontractor Agreements**

Subgrantee agreements and vendor contracts contain language which requires them to comply with the SWS specifications for work quality outlined in WPN 15-4, Section 2. Section 4 of the PPM requires Subgrantees that use subcontractors to complete work on assisted buildings to follow the procurement procedures contained in Section 8 of this manual and to execute an agreement with each subcontractor for the specific work to be completed. Subgrantees that subcontract for work performed with WAP funds must use the Subcontractor Agreement (See Form #33 Under Attachments). This form binds the parties to follow HCR rules in completing WAP-funded work and provides for certain rights and remedies in the event of default or non-performance by a subcontractor. Subgrantees are responsible for ensuring that the provisions of the Subcontractor Agreement are enforced. Subgrantees may not enter into side agreements with subcontractors for work on a project where WAP funds are invested. Contractors acknowledge the expectations for work quality by signing Form #33.



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Field guide types approval dates

Single-Family: 6/19/2018 Manufactured Housing: 6/19/2018 Multi-Family: 6/19/2018
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### V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family Audit Name: TIPS (New York) Approval Date: 5/17/2017
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Audit Procedure: Manufactured Housing Audit Name: TIPS (New York) Approval Date: 5/17/2017
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Audit Procedure: Multi-Family Audit Name: TREAT Approval Date: 5/17/2017
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Comments

#### Energy Audit Procedures

Weatherization subgrantees in New York can use the **Targeted Investment Protocol System (TIPS)** energy audit to analyze building energy usage and set priorities for weatherization work in all one- to four-unit buildings, including manufactured or mobile homes, as well as for auditing individually heated units in multi-family buildings not exceeding 25 units in size. The **Energy Audit Using the Queens Information Package (EA-QUIP)** may be used for analysis of multi-family buildings. Both audit platforms were reauthorized by DOE in 2017 for continued use in the NYS WAP.

New York also has DOE approval for use of the **Targeted Residential Energy Analysis Tools (TREAT)** Energy Audit for multi-family buildings. The TREAT software can be used in coordination with NYSEDA energy efficiency projects. Subgrantees doing weatherization work in multi-family buildings participating in NYSEDA programs, or that have had TREAT audits conducted for other programs, can rely on TREAT for Weatherization to avoid the need for duplicate audits. TREAT was also reauthorized by DOE in 2017 for continued use in the NYS WAP.

HCR subgrantees are expected to maintain in-house capacity to conduct building analysis for one- to four-unit buildings and are encouraged to develop capacity to conduct multifamily audits on certain types of buildings with fewer than 75 units. HCR has implemented a quality control and review process for subgrantees that are designated to conduct their own multifamily audits.

HCR encourages the use of renewable energy systems in weatherization projects where permitted by DOE rules. Particularly in multifamily projects, there are significant opportunities for energy savings and cost reduction that result from installation of systems such as solar thermal technology. The TREAT and EA-QUIP energy audit platforms provide the ability to determine cost-effectiveness of renewable energy systems that may be considered in a weatherization project. HCR will comply with the provisions of DOE notices WPN 20-1 and WPN 16-8 and with sections 10 CFR 440.18 and 440.21c concerning use of renewables in weatherization projects.

### V.5.3 Final Inspection

#### Final Inspections

All weatherization projects completed by subgrantees in New York must pass a quality control (QC) inspection performed by the subgrantee's designated QC inspector before being reported to HCR as completed. Payment for a completed unit will only be made for units that meet all program requirements (see

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sections 2.17, 7.02 and 7.06 of the PPM). HCR field staff periodically visit subgrantees and inspect a sample of dwelling units to ensure that the units reported have been completed in accordance with all State and federal program requirements. More detail on the monitoring process can be found in Section V8.3. Each completed unit is inspected per DOE Quality Work Plan requirements by the subgrantee before HCR reports the unit as complete to DOE. The following procedures will support HCR compliance with DOE Quality Work Plan requirements.

During Program Year 2020 every DOE WAP unit reported as a completed unit will receive and pass a QC inspection, performed by a certified QC inspector, ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440 and NYS WAP requirements. Each client file will have a form(s), signed by the QC inspector, certifying that the unit passed a QC inspection, meeting the required standards for NYS WAP. HCR will confirm subgrantee compliance with the QC requirement during routine monitoring visits and final quality assurance inspections of a sample of completed projects pursuant to WPN 15-4, which requires 10% QC review by HCR if the auditor who performed the energy audit also performed the QC inspection, and 5% if the QC inspection was done by an inspector who was not the energy auditor and did not perform work on the home.

The final quality assurance project inspection includes the following:

- verification of program eligibility and required project file documentation
- review of the audit and work scope to determine that the work specified was eligible, effective, installed per SIR priority and that any changes to work orders were approved in advance and properly documented;
- photographs of initial conditions and completed work;
- verification of the quantity of materials installed;
- verification that installation standards and work quality is acceptable and meets the QC inspection standard;
- a blower door test to verify final air flow, in units where the test can be conducted;
- verification that required health and safety tests were conducted accurately and that appropriate mitigation measures were performed as necessary;
- review for client signatures accepting completion of work;
- review for program documentation notifying owners and occupants of any unsafe or potentially unsafe conditions; and,
- review of any additional documentation necessary to support the outcome of the weatherization project.

Each subgrantee has certified quality control inspectors on staff, but turnover has been high, with several instances of staff leaving a subgrantee after obtaining QC certification. In cases where a subgrantee temporarily does not have a certified QC inspector in place, the subgrantee must demonstrate to HCR that it has arranged to obtain the services of a certified inspector on a temporary basis, typically by contracting with a nearby subgrantee, and must provide HCR with a plan to fill the vacancy. In any case, HCR does not allow a subgrantee to report a unit as complete without a QC inspection and will ultimately disallow costs for any expenditures on units that do not meet the QC requirement.

HCR permits smaller subgrantees that do not have the resources to hire a separate QC inspector to assign this function to an auditor or other staff person that obtains the required certifications. HCR increases monitoring frequency where needed, but for all subgrantees HCR inspects a minimum of 5% of completed units. See section V.8.3 for more detail on monitoring policies, including actions taken when a QC fails to adequately inspect completed work.

## **V.6 Weatherization Analysis of Effectiveness**

### **Analysis of Effectiveness**

HCR conducts an analysis of the effectiveness of each subgrantee's program each year, per 10 CFR 440.14(c)(6)(1) and maintains documentation on this analysis on file for review. This analysis is based on frequent on-site monitoring, regular desk audits and management reviews as well as other available information. Subgrantee productivity is measured by reviewing subgrantee production (as reported in the Weatherization Payment and Reporting Database) against contract production schedules each month when subgrantees request payment. HCR's Field Operations unit also conducts comparative analyses to ensure that all subgrantees are administering the Program in an optimal manner and to set priorities for training and technical assistance. Subgrantees with deficiencies are required to submit corrective action plans to resolve impediments to effectiveness.

Subgrantees are also monitored several times during the program year, and their progress in resolving deficiencies and in implementing new procedures and recent training is assessed as part of the monitoring process. The field monitoring instruments themselves allow the reviewer to identify reoccurring problems and problem areas measured in the aggregate. Progress in resolving management findings and unresolved issues from prior annual evaluations is also assessed.

In addition to regular monitoring, HCR conducts a comprehensive annual evaluation of each subgrantee. The evaluation covers both the Program and Fiscal components of the agencies' programs and includes the following:

Program Administration

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Outreach and Intake  
Energy Auditing and Work Scope Development  
Crew Operations/Subcontractor Management  
Post Inspection  
Database and Reporting  
Leveraging and Coordination  
Production and Quality  
Fiscal Record Keeping  
Financial Stability  
Program Compliance  
Procurement

The evaluation analyzes the program and fiscal monitoring reports documented during the year and various production metrics. The completed evaluation is shared with each subgrantee, and each area rated as "non-compliance" or "does not meet NYS WAP program standard" requires the subgrantee to submit a written corrective action plan, the implementation and progress of which is reviewed and monitored during the following year for effectiveness. Each evaluation area is also reviewed by the regional supervisors, program monitors and fiscal monitors for the identification of problem areas and potential solutions. The scores and subgrantee rankings are compiled for the program management staff to determine the strength of subgrantee performance and any service territories whose needs are not being adequately met.

## **V.7 Health and Safety**

### **Health and Safety**

The primary goal of the Weatherization Assistance Program is energy conservation. However, installing energy conservation measures sometimes requires subgrantees to address health and safety problems that may exist in client's homes. If not done correctly, installing certain measures can also create or worsen other health and safety conditions.

Many of the buildings that are weatherized in New York have serious deficiencies that can affect the health and safety of both occupants of assisted units and staff performing weatherization work. Health and safety work is only done in units where energy efficiency measures are also being installed. Section 5 of the PPM includes guidance on health and safety protocols. Specific information on HCR health and safety protocols is included in the HCR Weatherization Health and Safety Plan, which is attached as Appendix D that addresses the below sections under Health and Safety.

## **V.8 Program Management**

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

#### **Overview and Organization**

The Program is managed in New York by the Division of Housing and Community Renewal (DHCR), a component of NYS Homes and Community Renewal (HCR). The Commissioner of Housing and Community Renewal also serves as Chief Operating Officer of HCR and is appointed by the Governor. Within DHCR, the Program is in the Office of Housing Preservation (OHP). OHP is headed by a deputy commissioner/president that reports to an executive deputy commissioner. In addition to the Weatherization program, OHP administers the Federal Housing Choice Voucher program and provides supervision of the State's portfolios of public housing and privately-owned assisted housing. Other offices within HCR include Finance and Development, which primarily administers multifamily housing finance programs such as the Housing Trust Fund, Low-income Housing (tax) Credit and Mortgage Revenue Bond programs, and the Office of Community Renewal, which administers the Community Development Block Grant Program, NYS HOME Program, NY Main Street program and other locally-administered housing and community development programs.

The Director of Energy and Rehabilitation Programs, who reports to the Deputy Commissioner for OHP and the Director of Sustainability, has day-to-day responsibility for the Weatherization Assistance Program. Three component units within the Energy and Rehabilitation Services Bureau provide Program staffing: Program Management, which includes central office operations such as contract and payment processing, reporting, budgeting and coordination with other State offices and other units within HCR; Fiscal Compliance, which includes staff that monitors the fiscal operations of subgrantees; Field Operations, which includes both the field (program) monitoring staff; and the Training and Technical Assistance unit.

HCR coordinates closely with other State agencies that administer energy assistance programs. These include the New York State Energy Research and

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Development Authority, which administers the State Energy Program and several energy efficiency programs, the Office for Temporary and Disability Assistance, which administers the Low-Income Home Energy Assistance Program, the Department of State, which administers the Community Services Block Grant program, the Public Service Commission, the Department of Labor, the State Office for the Aging and others.

A full description of roles and responsibilities of HCR staff involved in administration of the Program, including information on coordination with other State agencies, can be found in the Weatherization Assistance Program Policy and Procedures Manual.

**V.8.2 Administrative Expenditure Limits**

**Administrative Expenditure Limits**

HCR will retain a portion of available funds to cover staff and non-personal service costs, not to exceed five percent of the allocation. Each subgrantee will be allowed to use six percent of the first \$1,500,000 of their allocation, and five percent of the balance of the allocation for administrative costs. For example, a subgrantee with an allocation of \$1,000,000 would be allowed to use up to \$60,000 of the allocation for administrative costs, and a subgrantee with an allocation of \$2,000,000 would be allowed to use up to \$115,000 for administrative costs  $(\$1,500,000 \times .06) + (\$500,000 \times .05)$ .

**V.8.3 Monitoring Activities**

**Monitoring Activities**

HCR combines rigorous field monitoring with an extensive training and technical assistance program to identify areas to improve work quality and the delivery of program services as well as to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

In accordance with WPN 15-4, a minimum of 5% of units completed by each subgrantee are inspected by HCR QA monitors. For subgrantees that use energy auditors to perform QCI inspections on buildings they have audited, HCR will comply with DOE minimum monitoring requirements and inspect at least 10% of completed units. When deficiencies are found at a subgrantee, a higher percentage of units may be inspected.

Staff closely monitors compliance with Program policies and procedures and in accordance with WPN 20-4. Fiscal Compliance unit staff (senior accountants) performs periodic on-site monitoring and desk audits, including reviews of financial statements, to assure compliance with all financial rules. Field Operations unit staff reviews subgrantee production status throughout the year, conducts visits to subgrantee offices to review files and visits assisted units to inspect in-progress and completed work. This information aids in early identification of subgrantee problems and ensures quality work and compliance with Program standards.

The field monitoring process consists of monthly reporting by subgrantees, on-site visits by program and fiscal staff to subgrantee offices and to assisted units, and desk audits, where subgrantee performance reports and other information is reviewed. At the end of the program year an annual evaluation of each subgrantee is conducted that reviews compliance with all program rules, energy audit procedures, crew operations, client interaction, data collection and reporting and fiscal compliance.

Subgrantees found to have deficiencies in program operations are required to prepare a corrective action plan for areas needing improvement. HCR has developed an automated monitoring process to more carefully track monitoring results. This process has improved HCR's annual monitoring function, and will provide data on subgrantee performance, work quality and compliance that HCR can use in future funding decisions, and to improve program effectiveness in general. For more information on HCR subgrantee monitoring processes, see Sections 2.17 – 2.20 of the PPM.

When HCR monitoring finds that a unit reported as complete was not properly inspected, current standards were not followed, or the unit otherwise contains deficiencies, the unit is not certified, which means that the subgrantee will not receive payment for the unit until the deficiency has been addressed. When a unit is not certified the HCR field representative notifies the subgrantee in a field visit report, documents the conditions that caused the unit to fail, and typically supports that finding with photographs that are included in the field visit report.

Since individual inspectors are employees or sub-contractors of the subgrantee, and HCR contracts with the subgrantee, not the individual, our written correspondence on these matters is directed to the responsible party at the subgrantee. It is the subgrantee's organizational responsibility to ensure that individuals perform in a manner that will result in compliance with HCR rules by the subgrantee. This is addressed in sections 2.17, 7.02 and 7.06 of the Policy and Procedures Manual; payment is only made for units that comply with all requirements.

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**Fiscal Field Monitoring**

Fiscal monitors (HCR staff accountants) review subgrantee A-133 audits (single audits) submitted on an annual basis. A management review letter is issued to the subgrantee following review of the audit.

Fiscal monitors complete their monitoring summaries based in part on the summary of their last visit/report. If there were findings on that last report, the follow-up will be part of their monitoring for the current report. If the prior findings remain uncorrected, that will be reported again on the current report. If the condition is sufficient to warrant further action, the agency may be placed on Fiscal Special Conditions, whereby monitoring becomes more frequent and where special Fiscal signoff may be needed for payments.

For deficiencies reported on an agency's annual evaluation, monitors review the corrective action plan and follow-up during the year as to how successfully it has been implemented. Failure to correct deficiencies may warrant increased training and technical assistance, increased levels of monitoring, or in the most severe cases a formal warning notice which may lead to termination.

**Program Field Monitoring**

HCR Program Field Monitors typically perform on-site field visits to each subgrantee to assess subgrantee performance and inspect completed units between four and six times each year. A written report is generally issued to the subgrantee at the end of each visit, but in any case, no later than 30 days following the end of the visit. Where serious or repeated deficiencies are found, the frequency of monitoring may be increased. Each monitor possesses current EPA Renovate, Repair and Paint (RRP) lead paint certifications and NREL Quality Control Inspector certifications.

Grantee staff assigned to monitoring are paid with LIHEAP and DOE administrative funding. Four staff persons assigned to the Training and Technical Assistance unit are paid with DOE T&TA funds.

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

**Training and Technical Assistance**

HCR provides training and technical assistance to maintain and improve subgrantee performance and the quality of work installed with program funds. HCR is under contract with two training and technical assistance providers to help administer its program requirements: The Association for Energy Affordability and the NYS Weatherization Directors' Association. Comprehensive training will be provided by IREC-accredited organizations that have extensive state-of-the-art training facilities that feature pressure diagnostic houses, heating labs, classroom space, and other resources.

Individual grantee staff independently track their continuing education units required for recertification via the BPI portal. HCR program field representatives review the status of subgrantee staff certification compliance during monitoring visits and will issue written findings to subgrantees that are not in compliance with certification requirements. See Sub Section 2.17 of the PPM for more information on HCR monitoring and field visits.

Required certifications and mandatory training are listed in Sub Section 2.14 of the PPM and communicated via program memo when necessary. Ongoing training is available through NYS WAP contracted technical service providers, who post training calendars on their websites and send out email notices to the WAP network regarding upcoming training.

When topics involve a change to existing WAP policy and procedures (e.g., air sealing standards, changes to audit protocols, etc.) or emphasize an important program area, (ASHRAE 62.2) subgrantee attendance may be mandatory. In this case, the subgrantee is required to assign the most appropriate person to attend.

If a sponsored training is regional in nature or is otherwise limited to a certain group of subgrantees, HCR will inform subgrantees if their attendance is required. If a subgrantee has any doubt regarding attendance, their HCR program field representative should be consulted.

The mandatory training sessions and the personnel required to take them are listed in the PPM, SS2.14. If a subgrantee hires a new employee into any of these positions or a current employee transfers into any of these positions, it is required that they receive the mandatory training within 12 months of their start date.

Training must be repeated every 3 years by subgrantee personnel who occupy these positions. Compliance with this program requirement will be monitored by field staff in their field visit reports. Any agencies that are not in compliance will be referred to the WAP T&TA unit (Form #47) to arrange for mandatory training for appropriate staff members. HCR Field Operations staff include monitoring of the subgrantee staff certifications and credentialing as part of their regular monitoring and include their findings on field visit reports.

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Ramifications for non-compliance include: (a) critical program field visit report that would result in an agency having to provide a written action plan for compliance; (b) negative end of year agency evaluation; or (c) disallowing payment for units that were not inspected by a certified QCI. Any subgrantee or sub-contracted staff paid with weatherization funds must be supervised for any work activities until all training and certification requirements are met.

HCR also requires that subgrantee personnel in certain professional positions be certified by the Building Performance Institute (BPI). Subgrantees must ensure that any individual holding a staff position that requires certification must meet certification requirements no later than 18 months from the time they are assigned to the position. HCR does not require Subgrantees to make their hiring decisions based on program training or certification requirements.

HCR provides on-going training programs to keep subgrantees current in program requirements, including any that subgrantees need to comply with HCR's Health and Safety Plan. HCR requires subgrantees to comply with ASHRAE 62.2-2016 indoor air quality requirements and will ensure that staff and subgrantees receive continuing training and other support throughout 2020, including training on any changes to the ASHRAE 62.2 standard that may impact the program. HCR will continue to attempt to balance these requirements with the need to maximize energy savings in assisted units and provide recipients with sustainable installations that they will be able to maintain in future years. HCR's request for a waiver for ASHRAE standards in multifamily buildings where its application is prohibitive has been extended by DOE as HCR is submitting necessary information on specific buildings.

HCR distributes a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials. Also, since 2014 HCR has provided customer education and training documents for subgrantees to utilize for the purposes of customer education. These are available on the HCR web site.

Training consists of the following activities:

**Activity 1:** All subgrantee crews, supervisors, energy auditors and other key staff are provided with classroom, web-based and individual training covering all aspects of the program. Areas such as rules, regulations, policies, procedures, reports, data entry, and forms will be covered. This activity will be aimed at meeting and maintaining State and Federal program, fiscal, and technical standards. HCR will provide this training and technical assistance through assigned staff.

**Activity 2:** This activity corresponds to DOE Comprehensive (formerly Tier 1) training. Training of a distinct nature that includes comprehensive, job-specific training which follows a curriculum aligned with the NREL Job Task Analyses (JTAs) for the major energy upgrade job classifications, including the required Quality Control Inspector title. This training will be provided by IREC-accredited training providers under a technical services contract, in accordance with all program requirements for Comprehensive (Tier 1) training. HCR will provide Comprehensive (Tier 1) training opportunities on an ongoing basis, becoming more varied as needs are assessed, curriculums are approved, and accreditations acquired. Training providers will be required to hold IREC accreditations in the following NREL worker certification tracks:

Crew Leader

Quality Control Inspector,

Retrofit Installer

Energy Auditor

**Activity 3:** HCR will also fund other training and technical support services, including peer-to-peer training activities, air monitoring of lead safe practices, energy savings analysis, and specialized training activities to address deficiencies found in field monitoring. This activity corresponds to DOE Specific (formerly Tier 2) training.

Other required or approved training will cover topics such as Health & Safety, using the TIPS, TREAT, or EA-QUIP software, creating-cost effective job work scopes, infrared thermography, heating system diagnostics, performing post inspections, managing crews and subcontractors, materials installation, air sealing, and pressure diagnostics. The goal of this training is also to introduce or significantly improve the knowledge and expertise needed to successfully operate local programs and provide quality weatherization services. These training sessions will be provided throughout the year.

**Activity 4:** HCR will distribute a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials.

**Coordination of Monitoring and Technical Assistance**

HCR utilizes field staff and technical service subgrantees as a quality assurance strategy. Field staff conducts an annual evaluation of each subgrantee's training needs that is used to develop the training curricula for the following year. HCR also has staff specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees.

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HCR has added the capability to capture per building type proposed energy savings data from each subgrantee in its database. This can now be utilized as an additional factor when developing a subgrantee training curricula.

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During these monitoring visits, when staff observes areas where subgrantees need assistance, the individual staff member will provide the assistance needed or will arrange for other training as described in Activity 1 and Activity 3, above.

HCR has developed comprehensive written training curricula in several areas that have been used for the training of subgrantee staff on a regular basis. As the need arises for training in additional areas, curricula will be developed to insure a comprehensive and uniform approach to the subject matter. This includes required Lead Safe Worker Training, which is conducted by EPA-certified training contractors. HCR has also funded a Clean Boilers Program which qualifies heating system contractors as eligible bidders and establishes a Master Bidders List for multi-family heating systems installed within the weatherization program.

The annual evaluation process described in Section V.6, above, is used to evaluate subgrantee effectiveness in several technical areas, and then HCR technical assistance and program operations staff reviews the results of the evaluations to identify underperforming subgrantees and recommend them for specific training or technical assistance to address the deficiencies.

Client education is primarily the responsibility of the subgrantee. HCR has developed a set of client educational materials to aid subgrantees in this effort. Those materials are on the HCR web site.

Percent of overall trainings

Comprehensive Trainings:	38.0
Specific Trainings:	62.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	50.0
Percent of budget allocated to Crew/Installer trainings:	48.0
Percent of budget allocated to Management/Financial trainings:	2.0

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

**Energy Crisis and Disaster Relief**

In the event of a natural disaster during the program year, subgrantees that serve areas that have been designated as federal disaster areas will be required to prioritize service to buildings occupied by disaster victims. In some cases, subgrantees covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the subgrantee that primarily serves that area. Work will be limited to allowable Program measures.