

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007953		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Utah Department of Workforce Services 1385 S. State St. Salt Lake City, UT 841150000		4. Program/Project Start Date 07/01/2020	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. Federal	81.042	\$ 0.00		\$ 2,697,506.00		\$ 2,697,506.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 2,697,506.00	\$ 0.00	\$ 2,697,506.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRA TION	(2) SUBGRANTE E ADMINISTRA	(3) GRANTEE T&TA	(4) SUBGRANTE E T&TA	
a. Personnel	\$ 45,949.00	\$ 0.00	\$ 68,923.00	\$ 0.00	\$ 114,872.00
b. Fringe Benefits	\$ 30,045.00	\$ 0.00	\$ 45,068.00	\$ 0.00	\$ 75,113.00
c. Travel	\$ 3,500.00	\$ 0.00	\$ 29,895.00	\$ 0.00	\$ 33,395.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 276.00	\$ 0.00	\$ 7,246.00	\$ 0.00	\$ 7,522.00
f. Contract	\$ 0.00	\$ 170,786.00	\$ 0.00	\$ 224,208.00	\$ 2,359,030.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 4,516.00	\$ 0.00	\$ 20,437.00	\$ 0.00	\$ 24,953.00
i. Total Direct Charges	\$ 84,286.00	\$ 170,786.00	\$ 171,569.00	\$ 224,208.00	\$ 2,614,885.00
j. Indirect Costs	\$ 48,518.00	\$ 0.00	\$ 34,103.00	\$ 0.00	\$ 82,621.00
k. Totals	\$ 132,804.00	\$ 170,786.00	\$ 205,672.00	\$ 224,208.00	\$ 2,697,506.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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3. Name and Address Utah Department of Workforce Services 1385 S. State St. Salt Lake City, UT 841150000	4. Program/Project Start Date 07/01/2020		
	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.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 2,697,506.00	\$ 0.00	\$ 2,697,506.00

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)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 114,872.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 75,113.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 33,395.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 7,522.00
f. Contract	\$ 1,665,828.00	\$ 248,208.00	\$ 50,000.00		\$ 2,359,030.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 24,953.00
i. Total Direct Charges	\$ 1,665,828.00	\$ 248,208.00	\$ 50,000.00		\$ 2,614,885.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 82,621.00
k. Totals	\$ 1,665,828.00	\$ 248,208.00	\$ 50,000.00		\$ 2,697,506.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

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IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Bear River Association of Governments (Logan)	\$240,647.00 50
Five County Association of Governments (St. George)	\$278,393.00 59
Mountainland Association of Governments (Vineyard)	\$395,368.00 85
Salt Lake Community Action Program (Salt Lake City)	\$906,977.00 183
Six County Association of Governments (Richfield)	\$197,232.00 46
Southeastern Utah Association of Local Governments (Price)	\$179,606.00 42
Uintah Basin Association of Governments (Roosevelt)	\$160,807.00 39
Total:	\$2,359,030.00 504

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	504
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	504
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	504
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	\$1,665,828.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	504
H	Average Program Operations Costs per Unit (F divided by G)	\$3,305.21
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$3,305.21

IV.3 Energy Savings

Method used to calculate savings: ☒ WAP algorithm ☐ Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	504	29.3	14767
Prior Year Estimate	559	29.3	16379

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Prior Year Actual	329	29.3	9640
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Method used to calculate savings description:

While Utah is using the DOE formula for calculated savings we have been collecting the Audited MmBtu data from each job. Our data indicates that we are exceeding the DOE average of 29.3MmBtu per unit. The decreasing trend is reflective of the increasing cost to weatherize and more stringent auditing standards.

Avg Audited MmBtu Saved

	PY 16	PY 17	PY 18	PY 19 (pre)
BRAG	69.08	45.6	39.75	48.12
UCA	35.44	41.07	33.11	33.75
MAG	31.95	35.97	28.36	31.52
UBAOG	16.14	69.23	41.56	40.47
SEUALG	58.26	28.69	26.1	51.59
SCAOG	34.53	31.17	22.42	32.27
FCAOG	24.42	28.4	21.76	16.41
State	38.55	39.08	31.61	34.28

IV.4 DOE-Funded Leveraging Activities

IV.5 Policy Advisory Council Members

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

Catholic Community Services of Utah	Type of organization: Non-profit (not a financial institution) Contact Name: Rose Olivas Phone: 8019779119 Email: rolivas@ccsutah.org
Catholic Community Services of Utah	Type of organization: Non-profit (not a financial institution) Contact Name: Monica Rich Phone: (801)977-9119 Email: mrch@ccsutah.org
Futures Through Training	Type of organization: Non-profit (not a financial institution) Contact Name: Natalie Alejandre Phone: (801)394-9774 Email: natalieaft@aol.com
Housing Authority of the County of Salt Lake	Type of organization: Non-profit (not a financial institution) Contact Name: Elizabeth Bioteau Phone: (801)284-4400 Email: ebioteau@hacsl
Mountainland Association of Governments	Type of organization: Local agency Contact Name: Scott McBeth Phone: (801)229-3800 Email: smebeth@mountainland.org
Mountainland Association of Governments	Type of organization: Local agency Contact Name: Heidi Demarco Phone: (801)229-3804 Email: hdemarco@mountainland.org
Questar Gas	Type of organization: Utility Contact Name: Brett Brown Phone: 8013243523 Email: brett.brown@dominionenergy.com
Rocky Mountain Power	Type of organization: Utility Contact Name: Stephanie Dobberfuhr Phone: 8019552468 Email: Stephanie.Dobberfuhr@pacificorp.com

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Salt Lake CAP	Type of organization: Non-profit (not a financial institution) Contact Name: Jennifer Godfrey Phone: 8019771122 Email: jgodfrey@slcap.org
Salt Lake CAP	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Ian Spangenberg Phone: 8012143171 Email: ispangenberg@slcap.org
Salt Lake Cap	Type of organization: Non-profit (not a financial institution) Contact Name: Patrice Dickson Phone: 8017591506 Email: pdickson@slcap.org
Southeastern Utah Association of Local Government	Type of organization: Unit of Local Government Contact Name: Geri Gamber Phone: 4356130037 Email: ggamber@seualg.utah.gov
State Energy Assistance Lifeline	Type of organization: Unit of State Government Contact Name: Rhonda Wilkinson Phone: 8014680057 Email: rmwilkinson@utah.gov
State Energy Assistance Lifeline	Type of organization: Unit of State Government Contact Name: Sisifo Taatiti Phone: 8014680069 Email: staatiti@utah.gov
United Way of Salt Lake	Type of organization: Non-profit (not a financial institution) Contact Name: Anna Fannesbeck Phone: (801)746-2577 Email: anna@uw.org
Utah AARP	Type of organization: Non-profit (not a financial institution) Contact Name: Danny Harris Phone: 8015672643 Email: DJHarris@aarp.org
Utah Department of Human Services	Type of organization: Unit of State Government Contact Name: Debbie Stark Phone: (801)468-0111 Email: dstark@utah.gov
Utah Division of Public Utilities	Type of organization: Unit of State Government Contact Name: Erika Tedder Phone: 8015306653 Email: etedder@utah.gov
Utah Housing Coalition	Type of organization: Non-profit (not a financial institution) Contact Name: June Hiatt Phone: 8013640077 Email: jhiatt@utahhousing.org
Utah Weatherization Assistance Program	Type of organization: Unit of State Government Contact Name: Bradley Carpenter Phone: 8014680134 Email: blcarpenter@utah.gov

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
03/18/2020	State of Utah Public Notice Website Published on 1/29/2020. Salt Lake Tribune & Deseret News Published 3-1-2020 . Public Hearing Notice Confirmations attached to the SF 424 as: Utah WAP Public Hearing & PAC Documents PY 20

IV.7 Miscellaneous

Div of Human Services represents Disabled and Elderly.
United Way & SL Cap advocate for native Americans.

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Southeastern Utah ALG was added to PAC, they provide service to the Navajo Reservation for many state programs.

PAC reviewed the Annual Weatherization Plan as part of their meeting. There were no comments received regarding the plan or any historical input either.

COVID 19 Impact

At the time of this application Utah is certain that the continuing COVID 19 pandemic will have substantial impact on PY 20 production. While we continue to plan for a traditional year it needs to be assumed there will be significant barriers.

Production & Average Cost Per Unit

The ACPU represented in this application does not take in to account the braiding of fund Utah WAP uses. Since DOE fund equals approximately 35.7% +/- of our total funding the ACPU reflected in this application is likewise approximately 35.7% +/-.

ASCI Survey Action Plan

Utah again has scored very high in every category. While the scores would indicate we are doing well the comments provided some opportunities for improvement. Utah has taken the following steps in response to the ASCI:

- Expanded the quarterly Coordinator's Meeting format to include a Professional Development portion.
 - Training using a 3rd party instructor from the state's Certified Public Manager's Program
 - Training is leadership focused with post training follow up between meetings.
- Obtained more agency participation in field guide development.
- Revised and continuing to improve the monitoring reports and tools to give better feedback from the monitoring process.

RECIPIENT BUSINESS OFFICER:

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UtahWAP@utah.gov

RECIPIENT PRINCIPAL INVESTIGATOR

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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

The State of Utah Department of Workforce Services (DWS) Housing and Community Development (HCD) Weatherization Assistance Program (WAP) provides services to applicants who are verified to be "Low Income" in accordance with 10 CFR 440.22.(a) (1)(2)(3)

- The household's annualized income, as determined by the guidance in WPN 20-3 (or current version when updated by DOE), is at or below 200% of Poverty Level.
- The household contains a member who is receiving or within the last 12 months @ time of application, benefits under the provisions of Title IV or XVI of the Social Security Act.
- The household is determined to be eligible for Low-Income Home Energy Assistance Program (LIHEAP) operated in Utah as the Home Energy Assistance Target (HEAT) program.

Sub-Grantees verify Income eligibility using one of the above methods.

The majority of Utah's WAP applicants are referred by the State's HEAT program. Utah WAP has a verification system that allows the local agencies to search the HEAT Program's database and independently verify the award status and date. This documentation is printed and placed in the client file.

When an applicant is not a HEAT recipient local agencies obtain proof of income that complies with WPN 20-3 and annualize it to determine the gross annual household income. This documentation is also placed in the client file.

Income eligibility is verified annually from the date of income certification while the applicant is on the waiting list or for other reasons.

Attachment

Utah WAP Guidelines

(Certain sections of this document are referred to throughout the Master File)

Describe what household eligibility basis will be used in the Program

Section C1. of the Utah WAP Guidelines details the entire eligibility process. This process is fully documented by the local agencies using the Client File. The required contents of the Client File are covered in Section C4. of the WAP Guidelines.

Household Income Eligibility is determined by combining the income of all qualified legal and non-legal US residents residing in the dwelling. For the purposes of determining a household priority non-legal residents are not to be considered in the household total count or any other category.

Household Income is determined by all members of the household 18 years of age or older. This would include non-legal residents of the US 18 years and older. 18 year old full time high school students need not provide proof of income.

A qualified household will have an income that meets one of the following:

- The household's annualized income, as determined by the guidance in WPN 20-3, is at or below 200% of Poverty Level.
- The household contains a member who is receiving or within the last 12 months @ time of application, benefits under the provisions of Title IV or XVI of the Social Security Act.
- The household is determined to be eligible for Low-Income Home Energy Assistance Program (LIHEAP) operated in Utah as the Home Energy Assistance Target (HEAT) program.

Multi-Family Units will meet the provisions of 10 CFR 440.22(b)(2)

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- Sub-grantees will ensure not less than 66% of the households in the building are qualified. 50% when the building is a duplex or 4-plex.

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

In determining eligibility of qualified aliens agencies have been instructed to view the HHS guidance referenced in WPN 20-3. Additionally Utah WAP has provided additional guidance to assist them.

To be considered for eligibility all applicants must be an adult (18 years old) and US Residents, or a "Qualified Alien".

- US residents would typically have a birth certificate from the US and/or Social Security card.
- Qualified Aliens are residing in the US in a legal status and are in possession of documentation that indicates that status. Intake staff are trained and educated to refer to Attachment #3 - Form M-396 (INS pamphlet about travel and identity documents) for more details on those documents
- Any applicant who cannot produce documentation indicating citizenship or qualified alien status are not eligible.
- Social Security numbers will be requested for all residents. This is needed to identify employment using E-Share or E-Rep.(Utah Dept. of Workforces Services eligibility systems) Refusals to provide this information will be dealt with by the local agency on a case-by-case basis.
- Total income from all of the occupants of the home must be counted, but only those individuals that are citizens or qualified aliens will be counted towards the Total Household in household count when determining priority points.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

In verifying Building Eligibility, documentation is collected to determine who the building's legal owner is and obtain both Right of Entry and Right of Alteration of structure from them. This documentation typically covers the building construction date which allows for determining the need to address lead and SHPO. During this process it also helps them determine if the property is being used for Income Purposes. This would provide the trigger to then treat and report the building as a rental unit and attempt to obtain a cost share from the owner.

Since this documentation comes from government sources, tax roles, DMV titles to mobile or manufactured homes etc... it gives the local agency the information to also ensure that the structure is permanent in nature and has a physical address not a P.O. Box. The one exception to this would be on the Navajo Reservation and other tribal lands where land ownership is prohibited. In these cases where the applicants have a P.O Box the actual job location is marked using GPS during the audit.

The client is required to provide utility billing information or a release that allows the local agency to obtain this information directly from the utility company. Finally they collect a Client Health & Safety Assessment as required by WPN 17-7

Once these all these conditions are met the unit is determined to be eligible.

Documentation that will be collected

- Signed application
- Proof of household income
- Proof of Property Ownership
- Owner right of entry and alteration
- Landlord agreement for rental units
- SHPO approval on homes that are 50 years old or older
- A Client health and Safety assessment form
- Fuel usage history

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- Proof of Citizenship

Utah's SHPO agreement was initially executed on 27 May 2010 valid for 3 years. Utah WAP is in process to renew or extend the current agreement.

It was extended to 30 December 2020 under Federal Register Vol 78, No 50 Thursday March 14, 2013

Additionally we have a memorandum of agreement with the Navajo Nation regarding work on their land that aligns with the Utah SHPO agreement.

Utah Dept. of Heritage and Arts, who administers SHPO has fielded an online system now for local agencies to submit for SHPO approval.

<https://heritage.utah.gov/history/shpo-compliance>

Describe Reweatherization compliance

To comply with 10 CFR 440.18(e)(2)(iii)

Sub-grantee will verify the unit against the HCD database (known as WebGrants)

- For previously weatherized units served after 30 September 1994 they are not eligible.
- Units served from 30 September 1994 and prior to this date are eligible for re-weatherization. These units will follow all procedures as currently described in Utah WAP policy. These units will be reported as re-weatherized units to DOE.

Utah's reporting database has at least some basic information on units completed dating back to 1977. Local agencies search this as well as their own historic information in attempting to determine if the unit has been previously weatherized.

The reporting system which local agencies report their completions allows them to identify when one of the eligible units is re-weatherized thus allowing us to capture this data for reporting.

A unit that is determined to be eligible for reweatherization will be subject to all other applicant and building eligibility requirements previously mentioned in V.1.2 (e.g. household income, energy audit, health and safety assessment etc.)

Describe what structures are eligible for weatherization

Eligible Dwellings

To be considered an Eligible Dwelling unit the applicant's residence will meet one of the following:

- Single family dwelling (house)
- Townhome (Multi-family)
- Apartment (Multi-family)
- Studio Apartment (Multi-family)
- Cottage
- Condo
- Manufactured home
- Mobile home
- Shelter (under certain circumstances)

To be considered a eligible dwelling the unit will be permanent in nature. Usually this means it would require significant dis-assembly or major disconnection of utility services before it could be moved. Things considered that could make it ineligible are:

A hitch or other device to be used for towing.

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Is self-propelled.

Has operable axles, tires or wheels

Can be easily moved or relocated.

Is not connected to public utilities.

Ineligible Dwellings

No funds shall be used to weatherize a dwelling unit which is not eligible

Dwellings that have been previously weatherized since 30 September 1994.

Dwelling is vacant or not being occupied

Designated for acquisition or clearance by a federal, state, or local program.

Dwelling has been foreclosed

A dwelling is not eligible for weatherization unless it is the present and primary residence of the applicant. (summer homes, cabins, or other part time residences are not eligible.)

Commercial buildings are not eligible.

Utah WAP will be working to add policy language to address deferral of homes under remodel.

Describe how Rental Units/Multifamily Buildings will be addressed

To be considered a qualified Multi-Family Building it will require 66% of all households contained, 50% when the building is a duplex or 4-plex, in the building to be eligible for use of DOE funds.

Each Client File will contain a copy of the **Income Property Owner Weatherization Agreement**. This is a signed & notarized document executed between the legal property owner and the local agency. This document provides right of entry and right of alteration of structure for the local agency. It also establishes the grievance process for both the landlord and tenant. There are also provisions for dispute resolution using the Utah Energy Advisory Council and if necessary a 3rd party arbitrator. Additionally the document contains the language that provides other protections:

- Landlord agrees to not raising the rent for at least 1 year after weatherization services unless those increases are related to matters other than the weatherization services that were provided.
- Landlord agrees to no involuntary eviction, without cause, after weatherization services
- Landlord indicates if they agree to participate in the sharing of costs for particular services

Clients in rental units also provide proof of energy burden through utility bills or documentation showing that it is included in the rent at the time of application this helps ensure they are recognizing the benefits of weatherization services directly.

A 50% cost share for weatherization materials and labor on certain major measures is strongly encouraged but not required for rental units for compliance with 10 CFR 440.22(b)(3)(iv) preventing undue enhancement. The cost share is not a buy down of the SIR in SF. Cost share measures are:

- Furnace Replacement
- Window Replacement
- Door Replacement
- Refrigerator Replacement

Describe the deferral Process

There are many reasons for the weatherization process to be deferred. Deferral is not refusal of service. It merely places the weatherization process on hold until such time that the issue(s) are resolved. Documentation of the issue is done using a State approved form and a letter to the client. It is incumbent on the sub-grantee to clearly communicate the specific nature of the cause for deferral and

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the conditions which must be achieved for the weatherization process to resume. A copy is provided to the client at time of deferral and a copy is mailed. There are times when the delivery at time of deferral is not possible. (hostile client, drugs, etc...) The notification in these situations is the mailed letter. The client is given at least 30 days to resolve the issue for deferral but the local agency has the flexibility to increase this when they feel it is warranted.

Some of the more common conditions encountered are:

- Structurally unsound dwelling or one that is condemned for human habitation.
- Evidence of persistent infestation of rodents, insects, and other vermin.
- Electrical or plumbing hazards that cannot be resolved prior to or as a part of the authorized WX work.
- The presence of sewage in any part of the dwelling unit
- Evidence of environmental hazards such as: serious moisture problems, mold & mildew, carbon monoxide, gas leaks, friable asbestos, or other hazardous materials, which cannot be resolved prior to the WX work.
- The presence of animal or human feces in an area of the dwelling unit where field staff must perform various WX measures.
- Excessive garbage and clutter build up in and around the dwelling unit where field staff must perform WX measures.
- Maintenance and housekeeping practices that are negligent to the point of limiting access of field staff to the dwelling or creating an unhealthy working environment.
- Threat(s) of violence, verbal abuse, physical abuse, or profanity towards any worker(s) or household member during the WX process.
- Evidence of the presence and/or use of any illegal/controlled substance in the dwelling unit.
- Evidence of drug cultivation, distribution, and/or manufacturing on the premises.
- A heating system in use has been determined to be unsafe or nonfunctional (through the determination of a qualified technician) and cannot be resolved through the normal efforts of the WX agency prior to the weatherization work or during the normal weatherization process.
- An un-vented space heater or other un-vented combustion appliances are present in the unit, which WX personnel have been unable to remove from the home.

Sub-grantees are directed, when possible, to provide a referral to any known resource that might better assist the client in resolving the cause for deferral.

The client may appeal the decision of the agency at anytime during the process.

The appeal process is a 3 tier process. The goal is to resolve issues at the sub-grantee level if possible. When needed HCD will intercede at the client or sub-grantee's request to help address the issue. The highest level is a formal administrative hearing at the DWS Division of Adjudication.

Steps

1. Agency resolution
2. State WAP resolution
3. DWS Adjudication & hearing

Utah WAP has implemented a method of tracking deferrals in PY 2019. Initial usage has been spotty with some sub-grantees and we are working on educating and promoting the use during monitoring and meetings.

V.1.3 Definition of Children

Definition of children (below age): 19

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.

The low-income members of all Utah Native American Tribes shall receive benefits and priority ranking equivalent to the assistance provided to other low-income persons within the state.

In San Juan County, a satellite office of SEUALG Weatherization Assistance Program, provides services to eligible clients living on the

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Utah portion of the Navajo Indian Reservation, the largest Native American population in the State. Additional non-DOE funds are awarded to SEUALG for the Navajo Reservation service area due to the extreme need in the area. This satellite office is awarded its own allocation base amount like a standalone agency. As needed, additional LIHEAP Weatherization funds are also allocated for Navajo Reservation production above and beyond the regular LIHEAP allocation.

V.2 Selection of Areas to Be Served

Compliance with 440.14(c)(6)(ii) - Utah will serve the entire state in PY 20

The current Utah Service Areas are aligned with the existing boundaries of the parent organizations of the sub-grantees. Sub-grantee selection is predominantly Association of Governments (AOG) (6) with one CAA. The AOG model is the preferred means of service delivery by the State for the mostly rural areas. This has proved to be the most economical in delivery of services over these large areas. 6 of 7 sub-grantees have been delivering weatherization to the citizens of the State since the inception of the program. There have been no historic public comments during the public hearing process or otherwise to the State for the selection of sub-grantees.

Utah has updated its policies on both selection and termination of sub-grantees based of recommendations and best practices after the change of 1 sub-grantee in PY 18. These changes better reflect the requirements in 2 CFR 200, 10 CFR 440 and state requirements.

Agency Selection Criteria:

All eligible local Weatherization agencies were selected on the following basis:

- Public comment,
- Experience in weatherization
- Availability of State Certified Energy Auditors & Quality Control Inspectors
- Trained furnace technicians,
- Past & Current weatherization performance,
- Ability to secure qualified labor,
- Experience in serving low-income households

These boundaries are mapped in an agency map included in the Utah WAP PY 20 Monitoring document attachment.

V.3 Priorities

Utah has a comprehensive priority system that encompasses all the requirements of 10 CFR 440.16(b). When a sub-grantee has a backlog of clients exceeding 2 months or more they are required to create and maintain a Waiting List. This list shall be prioritized on a points system. The Clients with the most points are pulled from the list and added to the sub-grantee's production based on their capacity. This process is documented in the client file.

Priority points are awarded to applicants in the key areas as required by 10 CFR 440.16(b).

- Elderly (Age 60 or older)
- Disabled
- Pre-school age children
- High energy user (calculated using the method below)
- High energy burden (calculated using the method below)

Energy User Percentage - The most recent 12 consecutive month consumption, from date of application, of the applicant's metered primary heating fuel divided by Utah average energy usage. (6540kWh and 59.5dth) These numbers were derived with the assistance of the primary natural gas and electric utilities in the state.

Energy Burden Percentage - The sum of expenses of the most recent 12 consecutive month, from date of application, of the applicant's metered utilities

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divided by their annualized household income. This would typically be natural gas & electricity.

The sub-grantee will enter the relevant data in to the HCD WebGrants database as part of their completion reporting. This data will be collected and used in the Grantee reporting to DOE.

V.4 Climatic Conditions

The state of Utah has a climate of extremes. In populated areas, heating degree days range from less than 3,200 to over 10,000. Cooling degree days range from near zero to over 2,200. Elevations in these same areas range from less than 2,500 feet to over 8,500 feet. Temperature extremes commonly go from less than -30 degrees F. to over 110 degrees F. Many of these extremes occur within the same local Weatherization agency area less than 100 miles apart. The average wind speed in the state is eight to twelve mph. Seasonal wind speeds may average 15 to 20 mph with occasional sustained average wind speeds far exceeding 50 mph.

Due to the extremes of temperature found throughout the state and even within some local WAP agency areas, the audit procedures used by all local WAP agencies have been prescribed to require specific weather files based on the location of the client. This allows more accurate audits whose results are tailored to each specific dwelling unit and climate zone.

The state of Utah is primarily a heating climate even though the southern portion of the state has major cooling loads. When using the WA 8.9 audit tool, heating is a far more significant factor than cooling in determining energy conservation measures. In every case the heating loads require more comprehensive measures than cooling loads. Where possible and allowable under the WA 8.9 audit tool, weatherization improvements will meet the state energy code.

State WAP has established a list of weather files to be used in the WA 8.9 audit tool to address the varied climate due to changes in altitude:

- BRAG = Pocatello, ID
Rich County = Rock Springs, WY
- UBAOG = Rock Springs, WY
- 5 County AOG = Washington County below 4000' = Yucca Flat, NV above 4000' = Cedar City, UT
All other areas = Cedar City, UT
- SEUALG = San Juan County below 4500' = Yucca Flat, NV above 4500' = Salt Lake City, UT
- All other agencies below 4500' = Salt Lake City, UT above 4500' = Cedar City, UT

Attachment 16: Allocation Formula Degree Days

1981-2010 Population Weighted Heating Degree Day Norms

BEAR RIVER AOG

Box Elder 6,383

Cache 7,481

Rich 9,381

FIVE COUNTY AOG

Beaver 6,332

Garfield 7,235

Iron 6,327

Kane 5,815

Washington 4,462

HOUSING AUTHORITY OF UTAH COUNTY

Summit 8,592

Utah 5,861

Wasatch 7,436

SALT LAKE CAP dba Utah Community Action

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Salt Lake 5,594
Tooele 6,153
Davis 5,943
Morgan 6,752
Weber 6,245

SIX COUNTY AOG

Juab 6,496
Millard 5,934
Piute 6,541
Sanpete 6,423
Sevier 6,088
Wayne 7,291

SOUTHEASTERN UTAH ALG

Carbon 6,847
Emery 6,692
Grand 5,469

San Juan 5,979

UINTAH BASIN AOG

Daggett 8,632
Duchesne 6,881
Uintah 7,650

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Only energy conservation materials which meet or exceed standards prescribed in 10 CFR 440 Appendix A will be purchased and installed utilizing DOE program funds. Measures are determined by using the Weatherization Assistant 8.9

The current Utah Weatherization Field Guides were **approved on 5-1-2018**.

Utah WAP has seated a committee to begin developing their own field guide that is more visual and specific to the work the program is doing. The goal is to move away from the off the shelf product we currently use. The committee has a timeline established to be completed and ready for submission by January 2021.

The field guides were hand distributed to the subgrantees and a online version was made available as well. Subgrantees are responsible to distribute this document to their contractors. Programmatic monitoring includes a check for this as well.

Weatherization contract Attachment D Scope of Work contains the language of compliance of work to the field guide that is cross referenced to the SWS and confirmation of delivery of said documents as well. Confirmation is via signature on the executed contract. This has been ongoing since PY 14 to comply with WPN 15-4. (sample document is attached to SF-424)

Sub-grantee efforts to ensure this documentation is delivered to contractors working on their behalf is verified during the annual monitoring process. (See Programmatic Monitoring Checklist starting on page 7) State Staff has worked with the sub-grantees to develop either Standard Terms and Conditions or contractual language to meet the requirement of WPN 15-4. Since agencies use the contractors for non-DOE work as well they are required to add other terms as needed. The required language covers: Confirmation of delivery of work specifications, training cost and retention/repayment for training expenses.

Link to Utah Field Guides: <http://wxfieldguide.com/ut/>

Attachments

2020 DOE Contract Attachment D Scope of Work

Agency Sample Standard Terms & Conditions

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Field guide types approval dates

Single-Family: 5/1/2018
Manufactured Housing: 5/1/2018
Multi-Family: 5/1/2018

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

DOE NEAT Audit - Approved August 24, 2015 by AnnaMaria Garcia Program Director WX & Intergovernmental Prog. During PY20 NEAT version 8.9 or greater will be used on all homes weatherized.

Approval Date: 8/24/2015

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

During PY20 the MHEA Audit version 8.9 will be used for all mobile home weatherized. The MHEA approval for use was included in the DOE NEAT Audit - Approved August 24, 2015

Approval Date: 8/24/2015

Audit Procedure: Multi-Family

Audit Name: Other (specify)

The NEAT Audit will be utilized for multi-family buildings with 4 units or less that are individually heated and/or cooled. All other multi family buildings will be audited and approved using the DOE Multi-Family outlined in WPN 16-8

Approval Date:

Comments

Energy auditing for the program is covered using the Weatherization Assistant software ver. 8.9

WA 8.9 is currently used when there are up to 4 dwelling units that are individually heated and/or cooled.

Utah has submitted for renewal of their audit tool in 14 March 2020.

Utah was approved for LED lighting on 8 December 2015. Measure lifespan increases 3-5-2019. Refrigerators 4-30-2019.

Since Multi-family units are less than 20% of the housing stock Utah does not have an approved multi-family audit. Multi-Family units are handled using the protocol covered in WPN 16-8. It is our intent to pursue a multi-family audit when the tool under development by NREL is made available to cover our 5-24 unit housing stock.

The Energy Auditor training and certification has been a priority for Utah. Utah WAP has fully implemented the requirement of the BPI Home Energy Professional Energy Auditor Certification. Currently all of Utah's Energy Auditors are certified and these requirements have been added to our policy. Additionally we have developed and Auditor In Training process to guide and track the training of new hires to ensure they are prepared for the role.

Utah has been actively training auditors on auditing standards that were part of the audit tool re-certification. Utah has implemented a technical monitoring specifically for energy auditing to better evaluate the needs and develop and deliver training on this critical area. I would stack our audit monitoring tool against anyone in the business.

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V.5.3 Final Inspection

Utah strives to have a minimum of 2 QCI certified inspectors at each sub-grantee, this varies with turnover. HCD currently has 3 QCI certified individuals. There are a total of 22 in the State; this easily covers the entire needs of the program. The state has an active role in tracking these certifications and CEU's to ensure continuity of service.

Utah WAP has instituted a verification of 3rd party certification, such as QCI. This is detailed in Section D2.7. of the Utah policy. When it is identified that a person performing work is not meeting the requirements of that certification corrective action is taken to include:

- Retraining
- Disallowance of measures
- Disallowance of entire job
- Non-acceptance of that individual's work

All weatherization work will be directed by a work order that meets the requirements of the State Weatherization Guidelines. All materials purchased and installed will comply with Appendix A 10 CFR 440.

To comply with WPN 15-4 Section 3 Utah has developed policies and procedures to regulate the QCIs. These policies cover:

- Independent QCI & Auditor/QCI – (section B11.5. a. iii.) also required in Scope of Work in contracts
- QCI Validation by State WAP Staff – (section D2. 7.) certifications and CEU's are tracked by IWTC staff
- Revoking QCI validation and non-acceptance of work – (D2. 7. B. iv.)
- Monitoring of the QCI – (section D2. 7. b.)

At this time, since Utah does not have an approved audit for multi-family, QCI of these types of units are not a pressing concern. Once Utah has an approved multi-family audit tool we will begin training of QCI's to the multi-family QCI JTA's.

Utah policy (section B11.5.a.iii.) allows the smaller sub-grantees to use an Auditor/QCI. Utah will monitor 10% of production for any sub-grantee taking this approach. Utah will monitor 5% of production for any sub-grantee using an independent QCI. For PY 20 below are the monitoring percentages.

Sub-Grantee QCI Approach Monitoring Percentage

Bear River AOG Auditor/QCI 10%
Salt Lake CAP Independent QCI 5%
Mountainland AOG Independent QCI 5%
Uintah Basin AOG Auditor/QCI 10%
Southeastern Utah ALG Auditor/QCI 10%
6 County AOG Auditor/QCI 10%
5 County AOG Auditor/QCI 10%

All units will receive a Final Inspection to insure they comply with the requirements of 10 CFR 440.16(g).

No dwelling unit may be reported to DOE as completed until all weatherization materials have been installed and the sub-grantee, or its authorized representative, has performed a final inspection(s) including any mechanical work performed and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures.

This dwelling would have the following:

1. Has received a Health & Safety Assessment and been documented on H&S Form #1.
2. Has had all requisite testing conducted and results documented.
3. Has received an Energy Audit by a qualified person in the program.
4. Has had all approved measures installed in a professional and workman like manner.

This includes:

- Audited measures with an SIR of 1 or higher
- Health & Safety Measures
- Incidental Repairs associated with approved audited measures.

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Has received a final inspection by a certified QCI:

1. Accounts for all materials credited to the job.
2. Verifies that those materials have been installed according to the program's work specifications.
3. Verifies that all work invoiced by contractors was done and meets the program's work specifications.
4. Reviews the energy audit to compliance with the Utah WAP Guidelines
5. Reviews the Work Order to compliance with the Utah WAP Guidelines
6. Includes a final Worst Case Draft Test.
7. Includes a Post Blower Door test.
8. Has a signed Attachment #9 Final Inspection Partnership Agreement
9. Has a signed QCI Inspection form

A reported completion will also have a complete Client File that includes all the required application, production, inventory, purchasing, testing, and inspection documents.

Has been reviewed by the sub-grantee Weatherization Coordinator/Director or designated representative for completeness and accuracy prior to submission to the State as a completion.

Is a first-time weatherization project or a qualified re-weatherization project.

Was not an amended project previously reported as a Weatherized Unit.

A "Partial Weatherized Unit" is a dwelling that has NOT met the above requirements. This might be caused by Deferral or that the client refuses services or access after the weatherization process has began. These units have had funds expended on them but cannot be reported or counted as a completion. Utah tracks these partial weatherized units in the statewide database.

Attached Documents:

Utah WAP PY20 Monitoring contains the QCI Checklist

V.6 Weatherization Analysis of Effectiveness

How the effectiveness of Subgrantee weatherization is assessed?

- Our goal of doing a program effectiveness study in PY 19 failed to materialize. Our biggest obstacle was lack of comprehensive data and the inability to obtain post-weatherization usage data from utilities. Moving forward Utah WAP aspires to develop a new client qualification and data collection system that will aid in this area. The study is now a mid to long term goal predicated on the capture of needed data.
- Our collection of the Estimated MmBtu's from the audit has been going well and we anticipate the ability to start making some analysis of this data at the conclusion of PY 19. We have compiled preliminary data which has been included in the PY 20 T&TA Plan.
- The analysis of pre & post blower door info and the pre & post ACH50 have shown the improvement in air sealing we had been hoping to achieve. We have some work to do here but it is now more specific to certain sub-grantees not the whole program.
- The preliminary results of our JTA Assessments are in the PY 20 T&TA Plan as well. By end of PY 19 we will have finalized this data. Initial reads are showing we have a couple questions we may need to re-visit

How the comparisons are used in the development of T&TA activities and priorities?

- Utah WAP is still using a "needs based" approach to development of training. This process takes place after the conclusion of the prior PY so we can examine all relevant data. In most cases we are now trying to compare this data in a 3 year average so we can better see trends.
- We use a process that compiles all monitoring comments in a tracking sheet that gives us a more comprehensive analysis of our monitoring data. This is allowing us to make informed decisions on when the training is a program wide need versus an individual sub-grantee need.

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- PY 17 we implemented a training plan section to each technical monitoring report. This supports the previous bullet where we can tailor training needs to the sub-grantee and sometimes even the individual.
- We have been collecting Energy Index data from the WA 8.9 tools. At the end of PY 19 we will have 2 years of data we can begin to review. We hope to compare this data with the Audited MmBtu data. It should give some indication of how well the audit captured the potential savings of the home. This will guide development of audit training.

How the training needs are being assessed?

- At the end of each PY State staff conducts a Training Needs Analysis. It take in to account monitoring data, performance data, and feedback from the sub-grantees. This is rolled in to our training plan and other management aspects of the program. State WAP staff does this typically in late July during their 2 day annual strategic planning meeting.
- The monitoring process collects data on local training subgrantees have conducted or participated in. This keeps us from providing something they have already addressed locally.
- Subgrantee can directly request help from State WAP and IWTC.
- Technical monitor's guidance is to try and establish agency specific training plans for the area evaluated based off their monitoring.
- Required certifications and licensure renewal dates are tracked at state training facility. This allows us to anticipate and offer CEU's or renewal classes.

How the Grantee is incorporating monitoring feedback?

- Programmatic Monitoring is conducted by the State Program Manager. This allows him to receive the results of the technical visits and then provide a complete overview to local management at the conclusion of the annual monitoring process. Likewise it provides the sub-grantee direct access to the State Program Manager to give feedback.
- Data and comments from monitoring are used in development of the State Training Plan.

What is the Grantee doing to be on a path of continuous improvement?

- The Training Needs Analysis process is really designed to maintain the program on a path of improvement since it encompasses so many facets of the program.
- PY 19 Needs Analysis revealed the biggest program need was Professional Development. By investing time in training and developing our local leaders it will facilitate growth and improvement program wide. Utah WAP realized that we were spending more time and energy managing the agency in things the local leaders should be doing but, were not equipped to do that.
- Collecting more data to better influence our decisions on the program

How is the Grantee tracking Subgrantee performance reviews?

The monitoring process creates a document that summarizes strengths, improvements and weaknesses in 8 functional areas.

- Client Intake
- Client Files
- Energy Audits
- Field Work
- Purchasing & Inventory
- Final Inspections
- Program Operations
- Administrative Functions

All monitoring documents are centrally maintained on a common drive electronically which all team members can access. The pre-monitoring includes review of previous year's monitoring to follow up on any items and become familiar with any trends or past issues. All items in the monitoring process are tracked by the State Program Manager and reviewed as part of the monthly staff meeting. This includes any Findings or open Areas of Concerns that are maintained of shared tracking log. We have also restructured some monitoring tools to incorporate 3 year trending to better view the results.

If a Subgrantee has failed final inspections, how are things improving?

- There has been a revision of the QCI/Production monitoring tool to incorporate a 3 year trending methodology so we can better measure progress over time.
- Field Supervisors must sign off on corrections items identified during a QCI. This ensures the information is getting back to the field workers.

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- In PY 19 sub-grantees were required to implement a system to track failed items from inspections which the State WAP staff will review during technical monitoring. It is a pre-contacting deliverable for PY 20. This is a focus item for PY 19 during monitoring.

If a Subgrantee has management findings or concerns cited as a result of Grantee monitoring or audit proceedings, how are things improving?

Utah currently has no management findings. Utah has found that all of the sub-grantees have taken very pro-active approaches to addressing any monitoring/audit results.

What are the management mechanisms being put in place this year to affect improvement?

- Utah finds the current systems in place are proving effective. Utah will continue to self evaluate annually and modify as needed.
- A PY 20 goal is to continue the Professional Development of the program. We have seen encouraging initial indications of this being effective.
- Utah WAP would like to request the DOE support to allow a mechanism for the State WAP office to view the progress and results of its' sub-grantee employees who use the new NREL WAP Admin Training website. It would be our desire to incorporate this new tool but find it challenging since we have no way to view progress, strengths, and weaknesses this tool provides.

Are there technical and financial systems that have been reviewed?

- Utah conducts 2 types of technical monitoring, Production/QCI & Energy Auditing.
- Financial systems are now being monitored by the DWS Fisical Grant Managers. They also may be subject to a additional monitoring from DWS Internal Audit Team.
- Desktop monitoring is done as part of any request for funds.
- Each sub-grantee does an annual single audit that is reviewed by DWS Interl Audit and the Risk Assessment Team.

What has the Grantee done in the area of market analysis to ensure particular measures are being costed accurately?

Market analysis is broken down in to 3 areas:

1. Fuel Costs

State staff conducts an annual survey of fuel providers across the state and compiling this data for distribution and implementation to the audit tool fuel library.

2. Material Costs

Material costs are reviewed by the sub-grantee and updated in the audit tool as the purchase price changes. This process and data is verified as part of annual monitoring.

3. Labor Costs

Labor costs are updated annually with the State in the Wx Operations Plan the subgrantee submits. Checks are also made on this data during monitoring ensuring that it is being updated in the audit tool.

Attached Documents

Utah WAP Training Plan PY 20 contains examples of metioned data

V.7 Health and Safety

The Utah WAP Health & Safety Plan is designed to ensure reasonable precautions are taken to protect clients and personnel. Contained in this policy are guidelines for identifying Health & Safety (H&S) issue(s), and determining whether issue(s) should be remedied, referred, deferred, or result in partial weatherization.

When an agency identifies an issue that is not specifically addressed in policy they consult with the State WAP staff to determine the best course of action.

Based off PY 19 data we are setting the **H&S funding for all funding sources at 14.9%** of Program Operations.

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The statewide average H&S Cost per Unit **(including all funding sources)** should not exceed \$1131 for the program year. (14.7% of the DOE max ACPU of \$7669) **The DOE portion of that H&S ACPU would equate to 43.4% or \$496**, creating the basis for the H&S budget total of \$248,208

H&S is supplemented by non-DOE funds as well which is how these numbers were derived. Utah uses this number to help define Minor and Major Repair. A Major Repair is any measure that exceeds H&S ACPU and need state approval with the exception of water heater replacement.

Utah does not permit the use of Health & Safety funds to be used in air conditioner replacement. This activity is funded using LIHEAP Crisis funding. Target Client Households (households that contain elderly, disabled, or pre-school age children) are the only homes eligible.

Prior to any weatherization activities being implemented, subgrantees are required to inspect dwellings for the presence of health and safety issues, conduct applicable required testing, and to inform the client of any issues that are identified. This is to identify any issues up front that might impede weatherization.

If issues such as work outside of scope of the program, health & safety concerns which are not permissible to correct, or other items that would prevent weatherization work the job is deferred to prevent partial weatherization, which is not allowed. Work may resume when the cause for deferral has been met by the client. Any work conducted on the home that is in deferral status would be disallowed.

Part of the Health & Safety Inspection is identifying occupant health concerns and attempting to identify & mitigate the impacts of weatherization activities on those concerns. Some of this information will be collected during the application process, but subgrantees are required to perform additional screening during the audit process to ensure that steps are taken to ensure that weatherization work will not worsen any occupant health issues. Health & Safety Form 1 has been created as the primary tool to collect and record this information.

The Utah WAP Health & Safety Template contains a list of issues that, when identified during the Health & Safety Testing, will result in the corresponding action. While situations might arise these items will be the typical Health & Safety measures for the program.

Compliance monitoring of RRP are included in the Production Monitoring process. The technical field monitoring staff is RRP licensed by the State of Utah Dept. Environmental Quality. H&S Plan will comply with all the requirements in WPN's 17-7.

Health & Safety document attached are:
PY 20 Utah WAP H&S Template

V.8 Program Management

V.8.1 Overview and Organization

The Utah Housing & Community Development Division (HCD) shall be responsible for the administration of the Utah Weatherization Assistance Program. It is a Division within the Department of Workforce Services (DWS) at the State of Utah. Program implementation is completed by a program manager, three monitor/trainers, and a fiscal/budget officer.

HCD operates a wide variety of programs that assist the residents of Utah including the following which align with WAP:
LIHEAP

HUD Home Program

State Housing Program (this encompasses the single family home rehab program)

CSBG

CDBG

Section D of the Utah WAP Guidelines covers that HCD operations and responsibilities. As the state administering agency, the Housing & Community Development Division shall complete the following:

1. Disseminate information and technical assistance to local participating agencies regarding the application process and requirements for the program. Provide training opportunities as needed.

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2. Assist local participating agencies in implementing policies and guidelines of both the DOE and the state.
 3. Assure that agencies meet reporting requirements to the state. Provide the required monthly, quarterly, semi-annual, and final reports to the DOE.
 4. Prepare and submit the annual state application to the U.S. Department of Energy along with all required reports to the cognizant federal agencies.
 5. Oversee production and workmanship quality through yearly monitoring of each subgrantee.
 6. Provide funding reimbursement based upon achieving production goals, meeting administrative requirements, and following state and federal requirements.
- An HCD Org Chart is included in the Utah WAP PY 20 Monitoring attachment.

V.8.2 Administrative Expenditure Limits

The DOE allocation including the **Administrative funds** are allocated according to the allocation formula which is attached to the SF-424 as Utah WAP Allocation.

Administration Funds: 10% of total allocation will be allotted as administration funds. 4.9% of total allocation will be allotted to the state for administrative purposes, and 5% of total allocation will be allotted to subgrantees for administrative purposes.

The state has determined that the 5 sub-grantees whose total grant is less than \$350,000 will require additional administrative funds in order to effectively implement the requirements as established by DOE, (per 10 CFR 440.18(d) an additional 5% of the subgrantee's total grant is allotted as administration funds for all sub-grantees whose total allocation is below the \$350,000 threshold.

Criteria for this determination is:

Pre-Award Risk Assessment rating of Low

Timely Reporting to State WAP

Prior Program Year production 80% or better

As part of the DWS annual Risk Assessment process each sub-grantee must indicate their indirect rate approach for the year (FNICR, De Minimus, Cost Allocation) and this is included on the contract coversheet. Controls are in place through the contracting and payment mechanisms to ensure no over expenditure of admin funds is possible.

Attached Documents:

PY 20 DOE Allocations

V.8.3 Monitoring Activities

Utah WAP's monitoring will comply with the provisions in WPN 20-4, including but not limited to Programmatic, Management, Financial Monitoring of sub-grantees.

Annual Monitoring of all sub-grantees is conducted throughout the year. This is an on-site visit to each to the sub-grantees. The monitoring is divided into 4 functional areas Programmatic, Production, Energy Auditing, Financial categories.

There is a 5% - 10% sample size of contracted completions on all monitoring dependent on if the agency has a Independent QCI or Auditor/QCI. The sample does not include in progress units that are also monitored. This is a comprehensive process that looks at:

Programmatic Monitoring

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- Sub-grantee Review
- Administrative operations
- Equipment/Inventory/Materials
- Client Eligibility
- Weatherization Rental Agreements
- Feedback and Reporting
- Health & Safety expenditures
- Program Documentation (Client File Review, Work Orders, etc.)
- Inventory
- Payroll/Personnel
- Procurement
- Records Retention

QCI/Production Monitoring

- Energy Audit
- Audit testing & diagnostics
- Health & Safety Inspection
- Work Order
- Weatherization field work
- Lead Safe Weatherization
- QCI Inspection
- QCI Certification Validation
- Agency Training
- Additional agency qualifications

Energy Auditing Monitoring

- Field Data collection
- Wx Strategy
- Audit tool input
- Audit tool database settings & management
- Diagnostic testing
- Lead Testing
- SHPO
- H&S Inspections
- Work Orders
- Auditor Certification Validation

Financial Monitoring

Financial Monitoring is done at 2 levels. A DWS Fiscal Grant Manager assigned to WAP does a Financial Monitoring that meets both DOE requirements and DWS policy. As required by law the single audits are submitted to the State Auditor who reviews them. Likewise DWS Internal Audit and Risk Assessment teams that review the single audits and conduct their own independent audits and monitoring of the sub-grantees. These activities cover the management and accounting systems along with their doing the per-award risk assessments.

The monitoring process consists of:

- Pre-Monitoring - State staff reviews previous monitoring documents, send Entrance Interview Question to sub-grantee. Sample selection and preliminary file review.
- On Site Visit - State conducts site visit to agency and client homes both completions and In Progress. Uses monitoring instruments to check program areas and record data. The On Site Visit is concluded with Exit Interviews with the Program Manager. Exit Interview with the Agency Executive Directors are conducted as part of the Programmatic Monitoring which takes place after Auditing and Production Monitoring.
- Post Monitoring - Compiles & reviews information. Sends a monitoring letter with results and other information to the sub-grantee. This is completed within 30 days of the Exit Interview. Open items are tracked and followed up by the monitor.

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- **Periodic Monitoring** - When there is an identified need, such as a subgrantee with significant or systemic deficiencies additional monitoring visits may be conducted outside of the scheduled Annual Monitoring Visit.

Tracking & Analysis: All open monitoring issues (Finding or Areas of Concern) are tracked by the State until closed. Comments on strengthening the program are tracked in a Monitoring Summary and used in the next monitoring as a gauge of progress. Utah has implemented a central tracking system of monitoring comments. The goal is to be able to see multiple years of comments to better identify trends.

Non-Compliance:

The State WAP Guidelines cover the procedures for dealing with sub-grantee non-compliance. When an issue is identified (Finding or Area of Concern) a Corrective Action Plan (CAP) will be implemented. In most cases this is part of the monitoring letter. In extreme cases it can be a separate document. This will contain a description of the issue, the timeline for resolution of the item, training necessary to address the matter, and actions required by all parties. It further details the punitive actions HCD may take against the sub-grantee:

- Disallowed Cost
- Disallowed Job
- Letter of Non-Compliance (A formal warning prior to the commencement of terminations)
- Agency Termination

Utah WAP updated its policy on non-compliance and termination following the change of sub-grantee in PY 18 to clarify the steps in the process and citing 2 CFR 200 as appropriate.

A Monitoring Schedule is included in the Utah WAP Monitoring Documents attachment with the projected dates the agencies will be visited. Financial Monitoring takes place in Q3 of the PY.

Budgeting: Monitoring funds for PY20 from DOE are included in the T&TA allocation retained at by the State. Monitoring expenses are expected to represent between 58% - 62% of these funds. This will cover partial wages and fringe for 4 FTE. Non-DOE funds will be used to cover the balance of the monitoring. Travel expenses for monitoring should be \$20,745. (30 trips @ \$692 a trip) See Budget Justification for more detail.

Staff:

Programmatic Monitoring

Brad Carpenter (Certified Public Manager)

QCI/Production Monitoring

Wade Thompson (QCI & Auditor certified, BPI Proctor)

Matthew Dalton (QCI & Auditor certified, BPI Proctor)

Energy Auditing Monitoring

Matt Turner (QCI & Auditor certified, BPI Proctor)

Fiscal Grant Manager

Kaylee Beck

Monitoring Documents Attached:

Utah WAP PY 20 Monitoring

V.8.4 Training and Technical Assistance Approach and Activities

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Training Plan Feedback & Grantee Provided Training

Our feedback from subgrantee monitoring and data from reporting continues to be our key source for establishing our training priorities. While our Training Needs Assessment will not be done until the end of PY 19; areas identified for PY 20 so far are:

- Energy modeling software training (WA 8.9)
- Leadership Development
- Building diagnostics
- Contractor training

Utah WAP will conduct an anonymous online survey after our Winter Training Palooza, which has been moved this year to April.

Compliance with mandatory training has never been an issue in the program's history. If needed the State would remove T&TA funding for lack of attendance.

Comprehensive Training

Utah continues to feel it is still vital to their program to utilize a "needs based approach" to training. Our training approach has been thoroughly outlined in the attached Utah WAP Training Plan PY 20 document. We continue to move forward on obtaining the IREC accreditations in the remaining 3 JTA for our training center and still see that happening in calendar year 2020.

The initial data from our JTA assessments indicates what we already believed, Utah WAP's work force is well trained and competent in their work. While we have seen high pass rates on our JTA assessments we will identify the areas where all employees are in need of improvement and focus our efforts there.

As reflected in the percentages of T&TA funds Utah sees a more balanced approach to training when the state is conducting a true needs assessment. This would potentially change based upon the results of the needs analysis. Utah continues to appeal to DOE WAP to support our alternative approaches to training development. The percentage screens in this section regarding budgeting are Utah WAP's best estimate.

Maintaining Workforce Credentials

The Utah IWTC is an accredited training and testing facility. This allows Utah to actively maintain all workforce credentials. IWTC Staff tracks or monitors for all required credentials:

- IREC accredited (QCI)
- HEP certifications by BPI (Auditor and QCI)
- OSHA 10 & 30 Hour
- EPA 608
- Rocky Mountain Gas Association (RMGA)
- North American Technical Excellence (NATE)
- Lead Inspector
- Lead Renovator (RRP)

There is also monitoring and other checks that verify that local agencies are maintaining necessary licensure required by other state entities. We have also established a shared tracking system so the sub-grantees can become more engaged in the management of their staff.

Utah does not establish any licensure or certification requirements prior to hiring, understanding most of the items we desire are not industry required in this state. We do have minimum times from hire that certain requirements are met.

- OSHA 10 = 30 days
- RRP = 1 year (as applicable to employee)
- RMGA = 1 year (as applicable to employee)

For PY 20 Utah has adapted the "badge system" to our New Hire Training requirements. We have taken the 26 most relevant tasks for our housing stock and cross walked these tasks to our field guide and the SWS. The employee must demonstrate competency by completing each task or skill on at least three separate occasions (unless otherwise stated on the badge).

• Initial Completion: Task is trained by experienced agency staff that signs off that the employee was trained. Employee signs off indicating they understood the training. QCI verifies work complies with program standards.

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- Second Completion: Employee preforms task which can be aided by experienced staff. QCI verifies work complies with program standards.
- Third Completion: Employee preforms task unaided. QCI verifies work complies with program standards.

It is understood there are certain tasks that cannot be performed alone. In these instances the New Hire is to be considered the “lead” worker of the task.

The Initial Completion of **each** task must be completed on all badges within the agency’s probation period as established by their HR policy. The entire process must be completed within 24 months from the employee’s initial hire date. Non-compliance results in the disallowance of the employee’s wage & fringe to Weatherization contracts.

Industry Wide Initiative and Future Requirements

In the past PY Energy Auditors in Utah were trained and obtained certification with BPI. Utah now requires Energy Auditors to be BPI certified. Utah has now added requirements similar to the QCI for people filling this role in the state to ensure their work meets program standards.

Utah is looking to focus on getting better at what we are already doing. Continued feedback from the network is a feeling of working in a state of constant change. The goal of changing the mindset of the program without changing the program requirements aligns with this goal.

Our most important initiative at the state level will be to monitor and collect data that we can roll in to our needs analysis.

Utah WAP was very enthusiastic about the new NREL Program Admin training. We would like to incorporate this training as part of our Professional Development training but find the lack of a “supervisor” role that allows the grantee to track sub-grantee usage and results a missed opportunity to effectively use this tool. It is Utah’s request that they instruct NREL to update this feature into the next version.

Evaluation and Comparison of Effectiveness

The true test of effectiveness of training is measuring the results afterwards. Since Utah is using a needs based approach we are trying to make data based decisions. The positive effect of that is we can analyze the effectiveness of our training by continued analysis. Our best example of this would be the chart of pages and 9 of the Utah WAP Training Plan PY 20.

During PY 15 state staff had started identifying a weakness in air sealing. Over the course of PY 16 & 17 we conducted a significant amount of training on air sealing, building science, and zonal diagnostics. The data shows a steady progression of improvement. There has to be some allowance for the housing stock variances, audited SIR, and staff rollover that accounts for some of the ups and downs.

Grantee Assessment

As noted at the top of this section we are regularly monitored by other state entities. In addition to the State Auditor's Office and DWS Internal Audit we are also monitored annually by the LIHEAP office. We feel the feedback from these external audits provides good insight from a different perspective. Monitoring results from these external audits are incorporated to the planning process.

Feedback is solicited from the sub-grantees by the State Program Manager at the completion of the monitoring cycle as well. This continues to lead to adjustments in the monitoring process to make it more collaborative and capitalize on the training value of the site visits.

State staff will continue to participate in trainings such as Energy OutWest and NASCSP keeping us on a national level. Our training center participates in the Trainer’s Consortium as well.

H&S Training

H&S Plan training will continue to focusing on items identified in monitoring. We will do a program wide technical training around Q2 of PY 20 that will include this component.

Client Education

In PY 18 Utah WAP contracted with 2 nationally accredited instructors on this topic. In PY 19 we were unable to seat the working

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committee that was indicated in the PY 19 application. While it still remains a goal, the prioritization of other activities seems to exceed organization resources. With that in mind. The general goals of the committee will still be:

- Shifting from client ed by the pound to smaller more targeted messages
- Improving the way we communicate with our clients
- Client engagement in the process

Currently our Client Ed is like most, "by the pound". Just like the building science geeks we are we have become very efficient at ensuring we bury the client in booklets, forms, and piles of documents ensuring we overwhelm them. At a minimum we would home to consolidate this in to a single product in PY 20.

Documents Attached:

Utah WAP Training Plan PY 20

Percent of overall trainings

Comprehensive Trainings:	50.0
Specific Trainings:	50.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	60.0
Percent of budget allocated to Crew/Installer trainings:	25.0
Percent of budget allocated to Management/Financial trainings:	15.0

V.9 Energy Crisis and Disaster Plan

None.