

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007905		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Arizona, Department of Housing 1110 W. Washington Phoenix, AZ 850070000		4. Program/Project Start Date 07/01/2021	5. Completion Date 06/30/2022

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	\$ 1,400,000.00		\$ 2,132,014.00		\$ 3,532,014.00
2.						
3.						
4.						
5. TOTAL		\$ 1,400,000.00	\$ 0.00	\$ 2,132,014.00	\$ 0.00	\$ 3,532,014.00

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	\$ 28,437.00	\$ 0.00	\$ 57,735.00	\$ 0.00	\$ 86,172.00
b. Fringe Benefits	\$ 11,090.00	\$ 0.00	\$ 22,517.00	\$ 0.00	\$ 33,607.00
c. Travel	\$ 16,000.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 16,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 38,852.00	\$ 257,378.00	\$ 112,353.00	\$ 198,606.00	\$ 3,378,014.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 12,221.00	\$ 0.00	\$ 6,000.00	\$ 0.00	\$ 18,221.00
i. Total Direct Charges	\$ 106,600.00	\$ 257,378.00	\$ 198,605.00	\$ 198,606.00	\$ 3,532,014.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 106,600.00	\$ 257,378.00	\$ 198,605.00	\$ 198,606.00	\$ 3,532,014.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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3. Name and Address State of Arizona, Department of Housing 1110 W. Washington Phoenix, AZ 850070000	4. Program/Project Start Date 07/01/2021		
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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		\$ 1,400,000.00	\$ 0.00	\$ 2,132,014.00	\$ 0.00	\$ 3,532,014.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) FINANCIAL AUDITS	(3) LIABILITY INSURANCE	(4) HEALTH AND SAFETY	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 86,172.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 33,607.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 16,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 2,563,508.00	\$ 7,140.00	\$ 10,754.00	\$ 189,423.00	\$ 3,378,014.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 18,221.00
i. Total Direct Charges	\$ 2,563,508.00	\$ 7,140.00	\$ 10,754.00	\$ 189,423.00	\$ 3,532,014.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 2,563,508.00	\$ 7,140.00	\$ 10,754.00	\$ 189,423.00	\$ 3,532,014.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
CAHRA (Eloy)	\$247,670.00 27
City of Phoenix, Municipal Building (Phoenix)	\$546,251.00 60
Foundation for Senior Living (FSL) (Tucson)	\$310,039.00 34
Gila County Community Action (Globe)	\$168,230.00 19
Maricopa County Government (Phoenix)	\$624,152.00 68
MesaCAN dba A New Leaf (Mesa)	\$243,957.00 27
NACOG (Flagstaff)	\$322,889.00 35
Pima County (Tucson)	\$262,769.00 29
SEACAP (Safford)	\$217,955.00 24
WACOG (Yuma)	\$282,897.00 31
Total:	\$3,226,809.00 354

IV.2 WAP Production Schedule

Planned units by quarter or category are no longer required, no information required for persons.	
Weatherization Plans	Units
Total Units (excluding reweatherized)	<input type="text" value="354"/> 354
Rewatherized Units	<input type="text" value="0"/> 0
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	354
C Total Units Reweatherized	0
D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	354
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	\$2,563,508.00
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	354
H Average Program Operations Costs per Unit (F divided by G)	\$7,241.55
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$7,241.55

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IV.3 Energy Savings

Method used to calculate savings: ☒ WAP algorithm ☐ Other (describe below)

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	354	29.3	10372
Prior Year Estimate	374	29.3	10958
Prior Year Actual	108	29.3	3164

Method used to calculate savings description:

Production and Energy Savings:

These are estimates for PY21 including Carryover.

Total Units (excluding re-weatherized) 354

Re-weatherized Units 0

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

IV.4 DOE-Funded Leveraging Activities

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

IV.5 Policy Advisory Council Members

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

Arizona Department of Economic Security	Type of organization: Unit of State Government Contact Name: Kelli Shepard Phone: 6025426620 Email: kshepard@azdes.gov
Arizona Public Service Company	Type of organization: Utility Contact Name: Chris Baker, Program Manager Home Perf. w/ Energy Star Phone: 6022503183 Email: Chris.C.Baker@aps.com
City of Phoenix	Type of organization: Unit of Local Government Contact Name: Travis Ekenberg, Project Manager Phone: 6024956802 Email: travis.ekenberg@phoenix.gov
Foundation for Senior Living	Type of organization: Non-profit (not a financial institution) Contact Name: Carrie Smith, Chief Operating Officer Phone: 6022850505 Email: csmith@fsl.org
Gila County Community Action	Type of organization: Unit of Local Government Contact Name: Malissa Buzan, Community Action & Housing Services Manager Phone: 9284028693 Email: mbuzan@gilacountyaz.gov
Maricopa County	Type of organization: Unit of Local Government Contact Name: Rachel Milne, Assistant Director Phone: 6023721528 Email: rachel.milne@maricopa.gov
NACOG	Type of organization: Unit of Local Government Contact Name: Ms. Isabel Rollins, Housing & Community Dev. Director Phone: 9287743756 Email: isabel.rollins@nacog.org
	Type of organization: Utility

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Salt River Project	Contact Name: Bonnie Temme, Community Relations Program Manager Phone: 6022369915 Email: Bonnie.Temme@srpnet.com
Southwest Gas Corporation	Type of organization: Utility Contact Name: Celine Apo, Energy Efficiency Administrator Phone: 7028767149 Email: celine.apo@swgas.com
Tucson Electric Power Company	Type of organization: Utility Contact Name: John Phillip, Contract Administrator Phone: 5208843613 Email: John.Phillip@tep.com
Wildfire	Type of organization: Non-profit (not a financial institution) Contact Name: Cynthia Zwick Phone: 6026040640 Email: czwick@wildfireaz.org

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

02/16/2020 Arizona Daily Sun

02/16/2020 Yuma Sun

02/16/2020 Kingman Daily Minor

03/05/2020 Arizona Republic

12/30/2020 Request for Comment - 1st Draft of WAP State Plan

02/04/2021 WAP Technical Committee Meeting - Discussed Training and TA portion of WAP State Plan

03/24/2021 Request for Comment - 2nd Draft of WAP State Plan

03/24/2021 Arizona Daily Star

03/31/2021 PAC Committee Mtg

04/14/2021 Public Hearing - held virtually.

IV.7 Miscellaneous

Business Officer: Kathy Blodgett, PCED, CDR Programs Administrator,

kathy.blodgett@azhousing.gov , 602-771-1021

Principle Investigator: Michael Frary, Energy Specialist,

michael.frary@azhousing.gov , 602-771-1042

PAC: Additional Information regarding member representation

The state's Policy Advisory Council (PAC) is a collaboration of people from various organizations from around the state, each represents the interests of low-income and priority populations through advocacy or assistance programs or both. Although some are also sub-grantees, these agencies represent multiple programs that serve low income, less fortunate households, additional information is included in the paragraphs below. The PAC are from local utility companies, Nonprofits, and local governments. The PAC met on February 18, 2020 to review the State Plan, discuss program needs and share ideas for program improvements. The meeting Agenda and Minutes have been attached to the SF424. The following is a current PAC member list and a brief description of the organization including those persons whom they serve:

Arizona Department of Economic Security - Division of Aging and Adult Services (DAAS)

DAAS supports at-risk Arizonans to meet their basic needs and to live safely, with dignity and independence through a number of programs and initiatives. These include aging and disability services, support for victims of domestic violence, options for people who are homeless or near homeless, protective services for adults who are being abused, neglected and or exploited, services to prevent eviction and loss of utility and telephone services, and Councils, Commissions and special initiatives that address the issues of Arizona's most vulnerable populations.

Arizona Public Service - APS is Arizona's largest and longest serving electric company. APS funds programs to assist limited income households with energy savings through their Energy Support Program or the Medical Care Equipment Program. APS' Project SHARE (Service to Help Arizonans with Relief on Energy) specifically targets persons 60 years of age and older, persons under 60 experiencing special hardships and persons with disabilities. The SHARE program assists these targeted persons with payment of their electric bill.

City of Phoenix - Neighborhood Services Department - The City of Phoenix, Neighborhood Services Department preserves and revitalizes neighborhoods and

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helps residents to access city services. Foreclosure prevention, CDBG, housing rehabilitation and emergency repair, lead hazard control, and landlord/tenant counseling are some of the programs for low-income persons offered through this division of the City of Phoenix government.

Foundation for Senior Living (FSL) - One of the largest 501(c) 3 organizations in Arizona. Serving the community since 1974, the organization's mission is to provide home and community based services and develop energy-efficient affordable housing, to promote health, independence and dignity for all. PAC Member representative is removed from the operations of the WAP Program.

Gila County - Work The Community Action Program (CAP) in Gila County has been in existence since 1980. CAP receives funding from the Arizona Department of Economic Security, Pinal Gila Council for Senior Citizens, Arizona Department of Housing, and many other funding sources. The funding is geared towards helping residents become more self-sufficient through case management and emergency assistance. Programs offered through Gila County include Utility Payment/Deposit Assistance, Eviction Prevention Rent Assistance, Utility Discount Programs - APS, SW Gas, Lifeline, Weatherization, Housing Rehabilitation and Emergency Repairs. Applicants for assistance must meet federal Poverty Income guidelines and have a documented need. PAC Member representative is removed from the operations of the WAP Program.

Maricopa County Human Services Department (MCHSD), Community Development Division - The MCHSD mission is to provide and coordinate essential support and social services to vulnerable populations to enhance economic, educational, and social opportunities and strengthen communities.

MCHSD funds and administers housing (weatherization, housing rehabilitation, emergency repairs, foreclosure prevention) and social service programs (Head Start, Adult Day Health Care, Utility Assistance, Homeless Assistance) for low-income households including children, families, elderly and the disabled.

Northern Arizona Council of Governments (NACOG) - NACOG is a non-profit membership corporation representing local governments to provide a wide variety of services within the four Arizona counties of Apache, Coconino, Navajo, and Yavapai. NACOG is the Area Agency on Aging, Head Start and Workforce Development agency for the region. Additionally, NACOG provides weatherization, housing rehabilitation and emergency repairs for low-income households, targeting the elderly and families with children.

Salt River Project (SRP) - SRP is the oldest multipurpose federal reclamation project in the United States. SRP been serving central Arizona since 1903, providing electricity to approximately 1 million retail customers in a service area that spans 3 Arizona counties. SRP offers a variety of programs to help customers save energy and money. These programs target appliance recycling, rebates for duct test and repair, financing for larger energy-efficiency projects, rebates for purchase of new energy-efficient heat pumps, rebates for energy efficient pool pumps and discounted prices for CFL bulbs.

Southwest Gas (SWG) Corporation - SWG has been providing natural gas service for eighty plus years and currently serves more than 1.9 million customers throughout Arizona, Nevada and California. SWG has customer assistance programs for low-income households such as no cost to the customer weatherization repairs and utility bill assistance payments in addition to rebates for appliance connections to natural gas.

UNS Energy Services/Tucson Electric Power (TEP) - TEP and its sister company, Unisource Energy Services offers comprehensive energy services through reliable, traditional resources and a growing renewable power portfolio. TEP/UNS also offer many ways to help customers use energy more efficiently. Additionally, TEP/UNS offer assistance to limited income (based on federal poverty levels) customers through discounts, weatherization, and emergency bill payment programs.

Wildfire (fka Arizona Community Action Association) - is a 501 (c)(3) non-profit agency created in 1967 to address poverty across Arizona. Through a collaboration of nearly 300 organizations and individuals, ACAA develops and implements strategies to address and ultimately eliminate poverty.

Use of Weatherization Funds for Renewable Energy Systems

N/A

Carry over Rule

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

ADOH concurs with DOE that Sub-grantees should be making every effort to expend funds allocated for a specific program year in that year. ADOH has adopted the policy that any Sub-grantee that does not expend at least 90% of their allocated funds for a given program year will not be eligible to receive carry over funds. All carry-over funds will be equally distributed to the sub-grantee agencies who expended at least 90% of their allocated funds from the previous program year. However, ADOH reserves the ability to implement a secondary carry-over policy due to extenuating circumstances. For example, performance for each of the ten (10) Sub-grantees in Program Year (PY) 19 fourth (4th) Quarter and PY20 was greatly affected by the COVID-19 Pandemic. For this reason and for PY21 only, all previous PY Carryover will be equally distributed to all ten (10) Sub-grantees.

Performance Based Funding Re-allocation

Quarterly performance goals and standards are made a part of the contractual agreement between the Grantee and Sub-grantee. The Grantee may, based on a review of the progress of Sub-grantee completed units and expenditures, move funds from a non or under-performing Sub-grantee to a Sub-grantee meeting or exceeding their performance goals. The Grantee will review the performance of all Sub-grantees on a monthly basis. The first re-allocation of funds would occur at 6 months with additional re-allocations if needed at the 8 month and 10-month time periods. It is the goal of the Grantee to use this method to ensure annual program funds are expended thereby reducing or eliminating carry-over and improving overall program performance.

Public Hearing

The Arizona Department of Housing (ADOH) held the official public hearing for input and comment on the Plan on April 14, 2021. The Hearing was held through web based video

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conferencing technology at 11:00 a.m. A court reporter was onsite at ADOH to perform the transcript duties of the hearing. The date, time, and web link to the Public Hearing was provided to Sub-grantees, Policy Advisory Council (PAC) members and other interested parties through email, and posting on the Arizona Department of Housing website at www.housing.az.gov on March 23, 2021, which is twenty-one (21) days prior to the date of the public hearing. Additionally, the hearing was advertised in five (5) major newspapers in the state including the Arizona Daily Sun (Flagstaff), Arizona Daily Star (Tucson), Arizona Republic (entire state), Kingman Daily Miner (Kingman) and the Yuma Sun (Yuma). Documented evidence of postings, publications, hearing transcripts and attendance are included as an attachment to the SF424 Application.

ACSI

In an effort to continuously improve the Arizona WAP program and to address the American Customer Satisfaction Index (ACSI) comments regarding communication and involvement in development of the State Plan, ADOH sent out two (2) successive revisions of the draft plan on two (2) different occasions to the PAC, weatherization Sub-grantee network and the WAP Technical Committee, each with the opportunity to comment or recommend changes to the plan. WAP Peer to Peer Sub-grantee Network virtual meetings were held on 12/3/2020 and 12/29/2020 to review the November 2020 DOE monitoring assessment and discuss any changes that might be necessary for the PY21 WAP State Plan and the ADOH WAP Policies and Procedures. Additionally, WAP Technical Committee virtual meetings were held on 2/4/2021 and 2/18/2021 to discuss any potential changes to Training and Technical Assistance section of the draft Plan. Finally, a WAP PAC virtual meeting was held 3/31/2021 to review and hear any comments and PAC recommendations on the draft Plan. Recommendations from the Sub-grantee Network, WAP Technical Committee and PAC were incorporated into the plan.

To address Distribution of Funds, ADOH continues its efforts to release funding contracts at least 45 days prior to the start of the program year allowing time for the Sub-grantee network to execute the contract and be prepared to start expending as of July 1 when the funding year begins.

It should be noted that Arizona's 2019 ACSI Scores improved significantly in all categories. ADOH will continue to have increased communications with the Sub-grantees especially concerning development of the WAP State Plan, ADOH WAP Policies and Procedures Handbook and ADOH WAP Technical Bulletins.

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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

Every dwelling weatherized must meet both client and building eligibility requirements. Eligible dwelling units per 10 CFR 440.22 are as follows:

(a) A dwelling unit shall be eligible for weatherization assistance under this part if it is occupied by a family unit:

(1) Whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget,

(2) Which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable State or local law at any time during the 12-month period preceding the determination of eligibility for weatherization assistance; or

(3) If the State elects, is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

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

Arizona definition of Children

A dependent not exceeding 5 years of age

Arizona Definition of Elderly

A person who is 60 years of age or older.

Describe what household eligibility basis will be used in the Program

The Sub-grantees are to follow the intake procedures of the state income qualifying guidelines found in the Low-Income Home Energy Assistance Program (LIHEAP) Policy Manual (REV. August 2019) available from the Arizona Department of Economic Security (DES) website at: <https://des.az.gov/services/aging-and-adult/partners/daas-policy-and-procedure-manual>. The LIHEAP State Plan for Arizona has been approved to mirror the income eligibility allowed by DOE at 200% or below of the Federal Poverty Limit (FPL). Sub-grantees should also reference WPN 21-3 for Poverty Income Guidelines and Definition of Income.

Each DOE client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The file must also contain evidence provided by the Sub-grantee that the client is income eligible to receive WAP services. This evidence may include, but is not limited to, third party verification from the source of income for the family (employer, social security office, unemployment agency, etc.) ; source documentation for each income source listed on the application; or evidence of cash assistance payments under Title IV of XVI of the Social Security Act or applicable State or local law at any time during the preceding 12 month period for any household member. These documents must be retained in hard copy for each client.

ADOH WAP has provided a Client File Checklist that Sub-grantees must use and keep in their client file. The form is available from the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization>

The following information is required (some are required only if applicable such as the Landlord/Tenant Form) to be included in client files:

1. Client File Checklist (required)
2. Eligibility Determination (including the required Annual Income Calculations Form) & Client Information including hard copy evidence provided by the Sub-grantee that the client is income eligible to receive WAP services. This evidence may include, but is not limited to, third party verification from the source of income (employer, unemployment agency, social security office) of the family or source documentation for each income source listed on the application.
3. Certification of Zero Income Form (required if applicable)
4. Proof of Ownership or Signed Rental Agreement
5. Deferral Information (if applicable)
6. State Historic Preservation Documentation (if applicable)
7. Previous Weatherization Checklist. (required form)

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8. Clients Rights and Responsibilities Form (required form)
9. Client Complaints and Documented Resolution (if applicable)
10. Progress Form; Includes client sign-off on:
 - a. Receipt of "Client Rights and Responsibilities Form"
 - b. Client Agreement (visits for quality assurance and funder monitoring)
 - c. Receipt of Warrantees
 - d. Statement of Completion
11. Household Action Plan (required form)
12. Client Health and Safety Evaluation Forms (2)
 - a. Client use (if client so chooses)
 - b. Auditor use (required form)
13. Work Agreement/Scope of Work
 - a. Form is supplied by Sub-grantee
 - b. must be signed by Client
 - c. Must include any Low Cost/No Cost measures
14. Priority Checklist or Copy of REM w/Field Waiver Request (if applicable)
15. Residential Diagnostic Evaluation Form (required form)
 - a. Initial Inspection and Diagnostics
 - b. Final Inspection and Diagnostics
 - c. Project Photos Pre-work and Post work (may be inserted into form or saved separately)
 - d. Photos of Appliances/HVAC before and after replacement (may be inserted into form or saved separately)
16. Quality Control Inspection Checklist (required form)
17. Hazard Disclosure Form; Includes client sign-off that information, notifications and release were given to them regarding:
 - a. Lead Paint
 - b. Mold Assessment and Release
 - c. Radon
18. Lead Safe Weatherization (if applicable)
 - a. Testing results showing no lead; or
 - b. Lead Safe Work Practices documentation per EPA requirements, Include Certified Renovator Documentation and photographs demonstrating proper practices were followed.
19. Materials and Labor Costs: including invoices and purchase orders (Contractor and crew based)
20. Bid/Equipment/Calculation/Specification Details
21. Inventory Sheets (if applicable)
22. Low-Cost/No-Cost Documentation
 - a. Cannot exceed \$250
 - b. Notations must be made in the AZWAP database indicating what the actual low cost/no cost measure was and break out the amounts by funding source used for the measure.
23. Landlord/Tenant Agreement (required form if applicable)
24. Refusal for Services, Indemnification & Waiver of Claims
25. Health & Safety (HSD) Waiver
 - a. required if HSD will exceed \$2,000
 - b. Must be approved and signed by ADOH Energy Specialist
26. Sub-grantee Statement of Completion
27. Utility Information Release Authorization Form
28. Sub-grantee Contractor Oversight Form (if applicable)

The client is income eligible for weatherization services for twelve (12) months from the date the client was determined to be income eligible, contingent upon residence eligibility. A client must be re-certified when eligibility lapses due to the length of time the client was waiting to receive Weatherization services. Re-certification of income eligibility must occur at least once every twelve (12) months.

Sub-grantees shall give priority to clients based on the list of priorities established in the Arizona State Plan, which includes the following:

1. Elderly at or above the age of sixty (60) years.
2. Persons with Disabilities
3. Families with children at or above the age of five (5) years.

The criteria used for determining applicant priority must be in writing and on file with the Sub-grantee. An actual wait list to determine who is next to receive weatherization services must be developed with consideration given to the priority populations listed above.

For HUD-DOE Multi-Family eligibility, see the Multi-family section of plan.

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

Qualified Aliens Receiving Weatherization Benefits

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

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

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

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

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

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Sub-grantees must document the eligibility of the residence to receive weatherization assistance through the following process:

1. Verify that the home's occupants are income qualified for WAP
2. Verify that the home has not been previously weatherized by a thorough examination of the following:
 - a. The state database (azwap.org)
 - b. Previous weatherization client files
 - c. The Sub-grantees weatherization program internal tracking system (i.e. database or spreadsheets)
 - d. Database or Visual inspection of unit for evidence of previous retrofit weatherization measures. (Observation of weatherization improvements will not necessarily preclude the unit from the WAP program. Database and Client File check as well as audit diagnostics may indicate unit is eligible.
3. Perform a site inspection of the unit to make sure the condition of the home is safe to perform weatherization work

The Sub-grantee must then complete the ADOH Previous Weatherization Checklist form and retain it in the Client File. The Previous Weatherization Checklist Form is available for download from the ADOH weatherization web page at: <https://housing.az.gov/documents-links/forms/weatherization>

The Grantee will monitor for the eligibility of the residence through the following process:

1. Perform a random sampling desktop review of the State's database for fifty percent (50%) of the DOE jobs. This helps to verify income levels as well as the eligibility of measures and their SIR prior to any reimbursement of expenditures to the Sub-grantees.
2. During field inspections, the Grantee Weatherization Program Specialist will monitor a random sampling of ten percent (10%) of client files on completed jobs for proper documentation of income eligibility. If Grantee determines that the Sub-grantee is not following policies and procedures currently and consistently, the Grantee will increase the percentage of Sub-grantee client files sampled.
1. Verify that the State's Previous Weatherization Checklist form has been completed, signed and included in the Client File..

Describe Reweatherization compliance

Dwelling units weatherized (including dwelling units partially weatherized) under the DOE WAP program, or under other Federal programs including LIHEAP, HUD or USDA (in this paragraph referred to as "previous weatherization"), may not receive further financial assistance for weatherization until the date that is 15 years after the date such previous weatherization was completed. This does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under the DOE WAP program or under other Federal programs, or from receiving non-Federal assistance for weatherization.

Units previously weatherized on or before the 15 year previous weatherization anniversary date must be client income eligible and building eligible. Client files will be documented according to the policies set forth in the Eligibility V.1, V1.1 sections of this State Plan as well as the Building Eligibility V.1.2 section. A full energy audit will be required.

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Under the Energy Crisis and Disaster Relief section of the Arizona State Plan, Disaster Planning and Relief is addressed and references DOE-issued Weatherization Program Notice (WPN) 12-7, which allows additional work to be done on homes due to natural disasters. Grantee and Sub-grantees will refer to these sections and follow appropriate procedures if the Sub-grantee wishes to serve homes located in disaster areas.

If the occupancy of the dwelling unit changes to another low-income family, the dwelling unit does not become eligible for additional weatherization. A dwelling is not eligible for weatherization, even if occupied by an eligible household, if a federal, state or local program has designated the dwelling for acquisition or clearance within 12 months from the scheduled date weatherization would be completed.

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

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

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

Describe what structures are eligible for weatherization

Eligible Structures

Once a client has been deemed income qualified then residence eligibility can be determined. Eligible residences must be safe for the occupants; Sub-grantees; crews; and/or contractors to work in without concern for their health and safety.

The primary housing types served by the Arizona WAP program are single family (both block and stick built construction), manufactured housing (mobile units must have a title and NOT a Motor Vehicle Registration) and multi-family housing. Sub-grantees should exercise caution in dealing with non-traditional type residential units such as shelters, and apartments over businesses, etc., to ensure they meet program regulations for eligibility. Consideration on weatherizing these types of units should be coordinated with the Grantee.

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

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units/MF Buildings

All Sub-grantees are required to weatherize single family, manufactured (mobile home) and multi-family rental housing.

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

State policy regarding rental units specifies that for a reasonable period of time (not less than twelve months) the tenant will not be subjected to rent increases unless those increases can be demonstrated to be related matter and conditions other than the weatherization measures performed. Sub-grantees must obtain the Landlord and Tenant's signature on the Landlord/Tenant Agreement form. State policy also provides an avenue for complaint in such matters. Tenants and landlords are informed in writing that no undue or excessive enhancement shall be provided to the rental unit or building by weatherization assistance, this is to include the installation of heating and air conditioning units, and appliances, as this is required to be provided by the landlord pursuant to A.R.S 33-1324: <https://www.azleg.gov/ars/33/01324.htm>

All documentation shall remain the property of Grantee and in the event of program closure, by either Grantee or the Sub-grantee; such files shall revert to Grantee. Copies of these documents need to be placed in each client file of the complex.

If a multi-unit building is under an assisted or public housing program identified by the U.S. Department of Housing and Urban Development (HUD), the property owner, manager or authorized agent will follow the Property Certification Procedure outlined below:

Property Certification

The property owner or authorized agent of the property must sign a Self-Certification form attesting that:

1. The property owner or authorized agent maintains certified income records for households residing at the property.
2. The property owner or authorized agent has reviewed its current certified income records.
3. The property owner or authorized agent has determined that at least 66 percent of the units in each building (or at least 50 percent of the units for 2- and 4-unit buildings) have certified incomes that are at or below 200 percent of the current federal poverty level based on household size.

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4. The property owner or authorized agent certifies that all the information provided with the certification request is true and accurate.

Property Occupancy Report

The property owner or authorized agent must also complete and submit an Occupancy Report for the property.

Required property information includes:

1. property name
2. HUD contract number
3. contract expiration date
4. other property identification number (if applicable)
5. Property address and number of buildings and units that are at the property that meet DOE's income requirements.

Required building-unit information includes:

1. A listing of all units and information for each units including:
 - a. building identification
 - b. building address
 - c. certified annual income
 - d. household size, and
 - e. Whether the household income was certified in the last year.

Upon completion of the Property Certification and the Multifamily Occupancy Report, the property owner (or property owner's representative) will submit both files to HUD at energyaction@hud.gov and to DOE at Derek.Schroeder@ee.doe.gov. The submitted documentation will then be reviewed by HUD following the process outlined below:

1. HUD will review the certification and accompanying documentation for completeness. If the documentation submitted by the property owner is insufficient for HUD to complete its review, HUD will notify the property owner via e-mail that the request cannot be approved based on the information submitted.
2. HUD will review the household and property information provided under the self- certification process with records maintained by HUD, and may request additional occupancy information subject to Federal requirements.
3. If the documentation is complete and one or more of the buildings at the property meet DOE's income eligibility requirements, HUD will designate the property or list of qualified buildings as income-qualified properties/buildings, and will notify Derek Schroeder at DOE and the building owner.
4. HUD will at the same time provide DOE with a list of the income-certified buildings pursuant to the above procedures; DOE will post these lists on its web site as required by 10 CFR 440.22 (b)(1), 440.22 (b)(2), and 440.22(b)(4).
5. Buildings determined by HUD to be eligible for WAP assistance will be posted on one of two lists:
 - a. List 1 – Public housing buildings or privately-owned buildings with three or more years remaining on their affordability contracts with HUD are included on this list. As outlined in the January 2010 Final Rule, inclusion on List 1 demonstrates compliance with the following three WAP multifamily program requirements:
 1. DOE's income requirements:
 - a. Protection against rent increases; and
 - b. Protection against undue enhancement of the weatherized building.
 - b. List 2 – Buildings on this list have less than three years remaining on their Housing Assistance Payments (HAP) contract with HUD. As outlined in the January 2010 Final Rule, inclusion on List 2 demonstrates compliance with only the following two multifamily program requirements:
 1. DOE's income requirements; and
 2. Protection against undue enhancement of the weatherized building. Buildings on this list must separately comply with the WAP program requirement for protection against rent increases.

For further clarification and guidance, refer to WPN 17-4 HUD Multifamily Housing Procedure for Certifying Income-Eligible HUD Assisted Buildings

Leased Dwelling Units

Note: Grantees and Sub-grantees are reminded that the supporting documentation for applicants applying for weatherization that may be on a wait list or for other reasons must have their income eligibility documentation updated every 6 months from the date of the initial intake date.

Certain buildings containing rental units may comply with the income eligibility requirements when fifty percent (50%) of those dwelling units are eligible dwelling units rather than the established sixty-six percent (66%) identified in the regulation. (10 CFR 440.22(b) (2)). The buildings that are subject to the fifty percent (50%) threshold are duplexes, four-unit buildings, and certain eligible types of large multi-family buildings. In the final rule published on December 8, 2000, DOE provided guidance on what types of large multi-family buildings may be subject to the 50 percent (50%) threshold. (65 Fed. Reg. 77210, Dec. 8, 2000.)

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

The definition of "significant energy improvement" is based on specific criteria for the building in question. This must be assessed using existing conditions to determine the threshold to achieve significant energy improvements. Grantees should consult with their DOE Project Officer if there are questions related to this threshold. Additional guidance is

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being considered by DOE to provide Grantees criteria for what constitutes "significant energy improvement."

As a reminder, when addressing multi-family units with DOE funds, multiply the total number of income-eligible units in the multi-family building by the current allowable per dwelling unit average cost to determine the amount of DOE funding available for weatherizing the building. While the amount of funding available for weatherizing a building is limited by the number of eligible units, the weatherization work can result in improvements to all units in the building, even those that are not eligible units. All units should be reported to DOE.

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

Describe the deferral Process

Deferral/Referral

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

Deferral conditions may include, but are not limited to:

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

When Sub-grantees have determined a home will be deferred the Sub-grantee must:

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

Upon denial of weatherization program services, the applicant shall be given a copy of the Sub-grantee's grievance procedure as established in the Sub-grantee's adopted WPGs or program Policies and Procedures.

Each Sub-grantee is to have a grievance process in place if any client is denied services; rent is increased due to the improvements on a weatherized rental property within the first 12 months after completion of the weatherization or other concerns or issues about WAP. The process must be given to the client in writing, at the time of intake. This process will be verified during fiscal monitoring of the Sub-grantees.

V.1.3 Definition of Children

Definition of children (below age): 6

V.1.4 Approach to Tribal Organizations

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

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

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Assistance to low-income members of an Indian Tribe is equal to the assistance provided to other low-income persons.

Members of a sovereign Tribal nation with residences located within the borders of the State of Arizona that are income and residence qualified are considered a local applicant and may receive services through the ADOH Sub-grantee WAP provider serving their area. Tribal members served by the ADOH Sub-grantee network will be required to obtain permission from their Tribal Councils for weatherization work performed on their property by outside parties including local governments or non-profits and their contractors. Permission must be obtained before work can begin.

V.2 Selection of Areas to Be Served

Arizona utilizes 10 local Weatherization agencies to fully implement the State Plan and provide service to the eligible population of Arizona. Project service areas are historical in nature, originating many years ago at the time of community action agency establishment in Arizona. Service area boundaries are typically drawn along county lines (including all tribal lands within those county lines) or city limit lines.

Individual Sub-grantees must meet the requirements of 10 CFR 440.15 and are selected on the basis of their:

1. Experience and performance in Weatherization or housing renovation activities;
2. Experience in assisting low-income persons in the area to be served; and
3. Capacity to undertake a timely and effective Weatherization Program.
4. Preference is given to any Community Action Agency or other public or non-profit entity, which has, or is currently administering an effective program under 10 CFR 440.15 or under Title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors including, but not limited to the following:
 - a. The extent to which the past or current program achieved or is achieving Weatherization goals in a timely fashion;
 - b. The quality of the work performed by the Sub-grantee;
 - c. The number, qualifications and experience of staff members of the Sub-grantee
5. Any new or additional Sub-grantee shall be selected at a public hearing and must meet the above criteria
6. Grantee staff onsite inspection of performance of the Sub-grantee
7. Transcripts of the public hearing which affirm that there are no public objections to any of the Sub-grantees selected.

In addition, eligible Sub-grantees must meet the following requirements:

1. For units assisted with DOE funding the Sub-grantee or their designated service provider must have an in-house state certified Energy Auditor to perform initial audits.
2. For units assisted with DOE funding the Sub-grantee or their designated service provider must have an in-house Quality Control Inspector (QCI) or an agreement with an independent QCI contractor as defined by Section V5.3 of this plan.
3. Sub-grantees must be in compliance with all ADOH contracts for all programs and funding sources.
4. New Sub-grantees if applicable, must submit a comprehensive WAP Program Management Plan within 90 days of being selected to receive WAP funds. The submission of the Management Plan must include copies of liability insurance; equipment calibrations; evidence of Lead Firm Certification; project implementation schedule; and an organizational chart that outlines the job responsibilities of each person working in the WAP program and their respective certifications.
5. Sub-grantees must have developed WAP Program Guidelines (WPGs) or Weatherization Policies and Procedures that have been approved by ADOH and adopted by their governing body.

The ten (10) Sub-grantees chosen to perform weatherization work are located in the Annual File under Sub-grantees.

V.3 Priorities

Sub-grantees shall give priority to clients based on the list of priorities established in the Arizona State Plan which includes the following:

1. Elderly persons aged at or above the age of sixty (60) years.
2. Persons with Disabilities
3. Families with children at or below the age of five (5) years.

The criteria used for determining applicant priority must be in writing and on file with the Sub-grantee. An actual wait list to determine who is next to receive weatherization services must be developed with consideration given to the priority populations listed above.

V.4 Climatic Conditions

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The climate conditions for Arizona range from low dry arid desert to mountain/alpine cold. The summer months of the desert from June through September will bring a dry heat ranging from 90–120 °Fahrenheit (32–49 °Celsius), with occasional high temperatures exceeding 125 °Fahrenheit (52 °Celsius). The winter months of the plateau and High Mountain/alpine range of the state experience extremely cold temperatures from cold air systems from the northern states and Canada pushing into the state bringing temperatures below 0 °Fahrenheit (–18 °Celsius) to this area of the state. Data on the heating and cooling degree-days was obtained through the BizEE Degree Days Weather Data for Energy Professionals website at: <http://www.degreedays.net>.

Climate zones were chosen based on analysis of elevation, average temperatures and the heating and cooling degree-days of each city and zone. The balance point chosen for the heating and cooling degree-day data is 65°Fahrenheit. As of November 23, 2016, Arizona WAP was approved by DOE to use three heating/cooling degree-day climate zones. A map of the approved climate zones has been included as an attachment to the SF-424. The three zones are as follows:

1. **Zone 1 - Plateau Province:** Zone 1 has the coolest average temperatures, highest elevations and mainly heating degree-days. This zone encompasses the Northern portion of Arizona and consists of forests and mountains. The range of heating degree-days for the area is 4,000 to 6,400. Zone 1 includes some communities along the northern border of the state that are on the plateau, have higher elevations but that drop below the heating degree-days range as stated. However, these communities do have a number of cold days.
2. **Zone 2 – Central Transition:** Zone 2 is the transition zone between the higher and lower elevations. This zone encompasses the center of Arizona and consists of mountainous and highland regions. Zone 2 has middling elevations and moderate heating and cooling degree-days. The range for Cooling Degree day is 1200 to 2200 and the Heating Degree Days is 2200 to 3800.
3. **Zone 3 - Basin Province:** Zone 3 is the zone with the highest average temperatures, lowest elevations and the most cooling degree-days. This zone encompasses the Southern portion of Arizona and consists of hot desert and basin regions with cooling degree-days more prevalent than heating degree-days. The range for cooling degree-days is 2,500 to 5,200 for this area of the state

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Grantee, in consultation with the South West Building Science Training Center (SWBSTC) has developed Arizona Success with Weatherization (Field Guide) in compliance with the outcomes and objectives outlined in the Standard Work Specifications (SWS) for Home Energy Upgrades in WPN15-4, Section 2. The Field Guide was distributed to all Sub-grantees who received a digital copy and a web address where the guide can be accessed on-line. Upon receiving the Field Guide, the Sub-grantee signed a document acknowledging their receipt. This document must be put in the Sub-grantees program file and updated annually. Sub-grantees are held accountable to make sure all weatherization work meets or exceeds the standards set forth in the Field Guide. The Arizona Field Guide can be downloaded from the ADOH website at: <https://housing.az.gov/documents-links/handbooks>

Grantee contracts with Sub-grantees contain language, which documents that the sub-grantees and their contractors are required to follow SWS for work quality as outlined in WPN 15-4, Section 2 and instructs the Sub-grantees to include the SWS Specifications for work quality standards in contractor agreements.

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

1. Sub-grantee must certify it has informed contractors that work must meet the standards as outlined in the Arizona Weatherization Field Guide and the Standard Work Specifications. This certification must be done annually and must be signed off by the Sub-grantee and an authorized employee of the contractor company.
2. All energy audits performed by the Sub-grantee or its contractor will meet or exceed the requirements set forth in WPN 19-4

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

Consistent with the approved energy audit or priority list, all materials used for weatherization must meet 10 CFR 440, Appendix A to Part 440—Standards for Weatherization Materials. This can be found at: <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr;sid=23fe3d3cfce461955f6c730af864c7c7;rgn=div5;view=text;node=10%3A3.0.1.4.24.idno=10;cc=ecfr#10:3.0.1.4.24.0.85.22.50>

Grantee submitted the updated Arizona Success with Weatherization Field Guide to the Department of Energy for review and approval on April 9, 2021.

Field guide types approval dates

Single-Family:
Manufactured Housing:
Multi-Family:

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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: Other (specify)

REM 15.8 and OptiMiser as of 7/1/2020

Approval Date: 11/23/2016

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

REM 15.8 and OptiMiser as of 7/1/2020

Approval Date: 11/23/2016

Audit Procedure: Multi-Family

Audit Name: Other (specify)

Arizona WAP currently does not have an approved multifamily priority list for either small or large multi-family buildings and must go through DOE for approval. See multifamily section for further details.

Approval Date:

Comments

The WAP Energy Audit Procedure must be used by all Sub-grantees to gather record and analyze data on structures. This data must be used to deliver weatherization materials/measures in a fashion that protects the health and safety of the client, increases the durability of the structure, reduces client energy costs and increases client comfort in a cost effective manner. The Energy Auditor certified by the state for the sub-grantee or their designated service provider will complete an ADOH Residential Diagnostic Evaluation (RDE) Form or its equivalent for the initial audit testing. Incomplete initial audit RDE will be returned to the sub-grantee for completion prior to approval of a site specific energy model.

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

1. A site audit that meets WPN 16-8 requirements, and records all relevant data on the structure needed to perform cost effectiveness tests.
2. The Cost Effectiveness Procedure must be followed to determine cost effectiveness of potential weatherization materials/measures
3. The Pressure Diagnostic Procedure must be completed and the findings documented following the Reporting Procedures
4. A health and safety audit of the structure must be completed and the findings documented following the Reporting Procedures
5. A final inspection of the structure must be completed and findings documented following the Final Inspection Procedures

Derating Heating/Cooling Systems

Unlike combustion appliances, air conditioners and heat pumps cannot be accurately measured for efficiency while on-site. When addressing a system that utilizes a compressed refrigerant cycle to provide heating or cooling, Sub-grantees may use the following derating formula:

Degraded Efficiency=Base EFF* .99age

Where:

1. Base EFF = Typical efficiency of Pre-Retrofit equipment when new (Seasonal Energy Efficiency Ratio (SEER), Energy Efficiency Ratio (EER), or Heating Seasonal Performance Factor (HSPF))
2. Age = Age of equipment in years.

For Example: An existing HVAC unit that is 20 years old, was originally rated at 10 SEER

Degraded SEER = $10 * .9920$

Degraded SEER = $10 * .818$

Degraded SEER = 8.18

Any other variation of the derating process or formula is not allowed unless first approved by DOE in writing. Derating of combustion appliances in lieu of testing for combustion efficiency is not allowed. Derating does not apply to evaporative coolers.

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A site-specific computer energy modeling by OptiMiser or Residential Energy Model (REM) is required if:

A site-specific computer energy model will be required if any of the following exist:

1. The Arizona Weatherization Priority List (priority list) is not approved or has expired
2. There are potential cost-effective energy upgrades to the house that are not on the priority List
3. The home being weatherized does not meet the priority list assumptions square footage + or – fifty percent (50%).
4. There are not sufficient funds to complete all the measures including energy related health and safety measures and other energy related repairs
5. Energy related incidental repairs of more than \$100 are included with the energy upgrades.

When preparing a site-specific energy model, the measures listed for the respective climate zone and building type are modeled with any additional measures. The savings-to-investment report is then created ranking all measures by SIR from greatest return to least. Grantee will request and review by random selection twenty – five percent (25%) of each Sub-grantees' completed projects prior to approving payment for the submitted projects for the detailed month. . Should errors or concerns be found, Sub-grantee will be required to adjust funding appropriately and the amount of required review will increase to a minimum of seventy-five percent (75%) and a REM preauthorization waiver will be necessary for a minimum of six (6) months or until concerns are no longer found.

As the Grantee updates to the newest REM versions, communication will be sent to the Sub-grantee agencies through the Arizona WAP Technical Bulletin process to flow down updated requirements.

Fuel Switching

Per WAP Memorandum 11: WAP does not permit the general practice of non-renewable fuel switching when replacing furnaces/appliances. However, DOE does allow the changing or converting of a furnace/appliance using one fuel source to another on a limited, case-by-case basis. These approvals will only be granted when all related costs demonstrate the effectiveness of the fuel switch over the life of the measure.

To request consideration of a waiver for approval of fuel switching, the sub grantee must follow the requirements outlined in WAP Memorandum 11 and submit a request that includes a site-specific REM demonstrating cost effectiveness, to the ADOH Energy Specialist PRIOR TO any work being done. The waiver request and REM will be reviewed by the ADOH Energy Specialist for approval. Failure to submit a waiver prior to work will result in disallowed cost.

Multifamily Audit procedures

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

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

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

1. Site plan of complex
2. Pictures of complex
3. Results of audit completed on the complex
4. ASHRAE 2016 calculations
5. Scope of Work
6. Budget consisting of:
 - a. Measure to be performed using DOE funds and cost
 - b. Measure to be performed using leverage funds and cost

V.5.3 Final Inspection

A weatherized unit is a dwelling unit on which an approved energy audit or priority list has been applied and weatherization work has been completed. Sub-grantees and their contractors/vendors have an obligation to perform their work to the SWS and the Arizona Success with Weatherization Field Guide. The use of DOE funds on a unit may include, but are not limited to: auditing, testing, measure installation, and inspections. Therefore, a dwelling unit meeting both the definition of a DOE weatherized unit and has DOE funds used directly on it, may be included in the DOE production numbers reported. In order to make sure these requirements are met, two separate inspections must be completed. A Sub-grantee Post Construction Review and a Quality Control Final Inspection must occur and pass for all completed homes in order for them to be considered a completed DOE job and be reimbursed for expenditures.

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

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A Post Construction Review by the Sub-grantee or their designated service provider:

1. Shall be performed after all work is completed and final diagnostic test out has been performed.
2. Shall be performed on all DOE jobs before it can be counted as a completed job.
3. Shall verify that all cost effective opportunities were completed.
4. Shall verify all invoices for the job are billed correctly and nothing is billed for services/work not performed.
5. Shall verify that the reported house characteristics are correct.
6. Shall include a review of the diagnostic result, both pressure and combustion safety, to verify that all applicable tests were completed.
7. Shall complete diagnostics on a minimum of ten percent (10%) of completed homes to compare with reported results.
8. Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in an effective manner following program requirements.
9. Shall also include an analysis of the energy audit to ensure that it was completed properly; all areas of the audit have been addressed; and the scope of work reflects a comprehensive energy audit.

Once a Sub-grantee or their designated service provider has completed their Post Construction Review, the job must be turned over to a qualified Quality Control Inspector (QCI) for a Quality Control Inspection. A qualified QCI will be someone who has been certified by the Building Performance Institute (BPI) to perform Quality Control Inspections for weatherization. After the QCI has reviewed and passed the job, it may be reported as a completed home to the Grantee and DOE.

A Quality Control Inspection:

1. Shall be conducted after all work by the Sub-grantee is completed and their Post Construction Review has been completed.
2. Shall be performed on all jobs before they can be counted as a completed job
3. Shall include an analysis of the energy audit to ensure that it was completed in an efficient manner with all areas of the audit having been addressed and the scope of work reflects a comprehensive energy audit.
4. Shall verify reported diagnostic numbers are correct.
5. Shall verify that all cost effective measures were completed.
6. Shall verify that all invoices for the job are invoiced properly, nothing billed incorrectly, or billed for services/work not performed.
7. Shall include a review of the diagnostic results for pressure and combustion safety to verify that all applicable tests were completed.
8. Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in an effective manner, following program requirements.
9. Shall verify the work was performed to the SWS provided by the Department of Energy and the Arizona Weatherization Field Guide.
10. Shall fill out and sign the ADOH WAP QCI Checklist, sign it and provide a copy for the file, stating the unit is complete and ready to be reported to ADOH WAP and DOE. The QCI Checklist is available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>.

There are two types of QCI Inspectors:

1. The independent QCI inspector is an inspector that was not involved in the job except for the Quality Control Inspections. The individual did not perform the initial audit or any work on the home. In this scenario, the Grantee principle investigator (aka Energy Specialist) must field monitor for Quality Assurance, five percent (5%) of completed jobs (no less than one (1)). The percentage of jobs to be field monitored will round up to the nearest whole number.
2. The Auditor/QCI Inspector is a person that performs the initial audit and develops the scope of work but is not involved with any of the construction or installation of energy conservation measures or materials performed on the home. This same individual performs the Quality Control Inspection. If this method is used by a Sub-grantee, they will be subjected to more oversight and the Grantee Principal Investigator (aka Energy Specialist) will field monitor ten percent (10%) of completed jobs (no less than two (2)). The percentage of jobs to be field monitored will round up the nearest whole number. Several Sub-grantees for the Arizona WAP program have a designated service provider who has QCI certified staff. The designated service provider will be an acceptable Auditor/QCI as long as the QCI Certified staff of the service provider did not perform any construction or installation of energy conservation measures or materials.

The State WAP program allows the Sub-grantee to select which type of QCI method they will follow for the program year thereby determining the level of Grantee oversight of the Sub-grantee.

Lack of Compliance with QCI

If a Sub-grantee is found to be in violation of the requirements of the Quality Control Inspection process, they will be formally notified in writing by the Grantee. The write-up will:

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

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If Grantee does not receive the plan of action within the required timeframe or the deficiency is not corrected, the Sub-grantee will no longer be allowed to facilitate the weatherization program for their service area.

However, if the Sub-grantee approaches the Grantee for technical assistance, the Grantee will provide assistance to the Sub-grantee so they may address the Grantee's concerns. This request for assistance must be made by the Sub-grantee in a reasonable timeframe during the allowable follow-up period. (Refer to number 3 above)

If the Quality Control Inspector fails to inspect to the standards of most recently approved Arizona WAP Field Guide, the Grantee Principle Investigator (Energy Specialist) will include this as a finding in the onsite sub-recipient monitoring report. Additionally, the Grantee Principle Investigator (Energy Specialist) will provide technical assistance to the Quality Control Inspector to ensure understanding of the latest approved Arizona WAP Field Guide. At the discretion of the Principle Investigator (Energy Specialist) and if warranted, the QCI may be required to re-take the Energy Auditor with QCI Micro-credential training.

V.6 Weatherization Analysis of Effectiveness

Quality assurance is ongoing through data analysis; monitoring; technical assistance and AZ WAP Network communication.

Grantee has a process to establish measurable expected outcomes through a performance-based contract with the WAP Sub-grantees. Sub-grantees are required to input data into the AZWAP database. Data includes housing types; measures installed; cost of installed measures; and pre and post energy audit diagnostics. Grantee analyzes this data on a monthly basis, which helps to determine both the training and technical assistance needs of the Sub-grantees as well as best practice installation trends across the network.

Monitoring visits help to identify what training a Sub-grantee and their contractors might need to improve the performance of the Sub-grantee and the program overall. Through monitoring activities, Grantee is able to make comparisons between the Sub-grantees for best practices, measure and installation costs, client education and other trends. Each Sub-grantee gets a minimum of one (1) annual monitoring visit with additional visits as necessary based on performance of the Sub-grantee. Monitoring visits are also used as an opportunity to provide one on one technical assistance as needed.

Constant communication with the WAP network is necessary for program effectiveness as it brings consistency and clarification of expectations, guidelines and regulations. Grantee participates in the WAP Network Peer-to-Peer meetings, which are held approximately four (4) times per year. Additionally, the Grantee uses a process for releasing Technical Bulletins to the WAP Sub-grantee network to maintain quality performance and regulatory compliance. When issues common to the network are identified during the Peer-to-Peer meeting, the Grantee is able to determine additional training needs.

Sub-grantees submit a monthly performance report and monthly job completion reports, which the Grantee uses as tools to determine Sub-grantee effectiveness in delivery of the WAP program.

Finally, the Grantee maintains a Policy and Procedures Handbook that indicates the Grantee's expectations for the performance of Sub-grantees including their client education, progress on completed units and expenditures, ability to follow DOE requirements; Field and Fiscal Monitoring reports; if concerns are found, how quickly they are addressed; and their billing practices. Sub-grantees submit quarterly progress reports as a performance review. This performance review is used on a quarterly basis to determine the Sub-grantees effectiveness in WAP

V.7 Health and Safety

Please see the approved PY2021 Arizona Department of Housing Weatherization Health and Safety Plan attached to the SF424 application.

ADOH uses Client Health and Safety Form - for Auditor and Client Health and Safety Form - for Client to reveal known or suspected occupant health concerns prior to beginning weatherization work. Both forms are available for download from the ADOH Website.

V.8 Program Management

V.8.1 Overview and Organization

The Arizona DOE Weatherization Program is located within the Arizona Department of Housing (ADOH). In addition to DOE funds for weatherization, ADOH manages Weatherization funds awarded by DES LIHEAP Weatherization Program and Public Utility funds.

An Organization Chart showing how the office is structured is attached to the SF-424. The responsibilities of the ADOH staff implementing the WAP program are outlined in the Budget Justification attached to this plan and are as follows:

Assistant Deputy Director of Housing and Community Development- provides executive leadership to the program; specific programmatic and policy direction; approval of

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procurement transactions; oversight of Public Hearing process, planning and reporting.

Deputy Director - provides budget oversight, including annual budget and monthly budget reviews; oversees Human Resources, Procurement, and legal assistance to program when needed.

Program Administrator - directs day-to-day programmatic activities, supervises program staff, approves WAP contracts, compiles and submits reports, recommends program and policy direction, reviews and approves Sub-grantee reimbursements, participates in audits.

Administrative Assistant - handles clerical issues relating to the WAP contracts, including file set-up, travel arrangements, and other duties as assigned.

Energy Specialist - provides training, technical assistance and on-site Quality Assurance monitoring of Sub-grantees.

Weatherization Program Specialist - prepares WAP contracts, organizes Sub-grantee reporting, processes reimbursement documentation, and conducts desk monitoring and site monitoring of Sub-grantees client, programmatic and financial files.

Finance & Accounting Administrator - responsible for financial and accounting functions associated with financial draws against WAP funds, approves all draws, reviews monthly financial reports, reviews budget reports, participates in audits.

Accountant - responsible for the day-to-day accounting draws associated with WAP funds, submits draws for approval, compiles monthly financial/budget reports, and participates in audits.

Mission

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

V.8.2 Administrative Expenditure Limits

10 CFR 440.18(e) requires that the combined amount for both Grantee Administration and Subgrantee Administration be no more than 15 percent (15%) of the total new funds to be awarded. However, the State Energy Efficiency Program Improvement Act of 1990 (SEEPIA) Public Law 101-440, October 18, 1990, allowed an exception that supersedes the 10 CFR 440.18(e) rule, allowing up to an additional 5% of a Subgrantee's award be used for administration if the Subgrantee allocation is less than \$350,000.

Arizona will retain 7.5% of the allowable fifteen percent (15)% for administration and apply the SEEPIA allowed exception of up to an additional 5% of the Sub-grantee award to be used for administration. The maximum administrative funding that any sub-grantee will receive is fifteen percent (15%) of their total awarded allocation.

V.8.3 Monitoring Activities

The state has a responsibility to perform monitoring and oversight of the work performed by the Sub-grantee and expends approximately 52% of Grantee Administrative funding plus 40% of Grantee T/TA funding on monitoring activities. DOE requires the state to perform a comprehensive field monitoring of each Sub-grantee annually. DOE requires five percent (5%) field inspection of completed jobs for Quality Assurance and recommends performing inspection on in-progress homes.

There are two methods of Quality Assurance:

1. For completed units where there is an Independent QCI inspector that was not involved in the job except for the Quality Control Inspections and did not perform the initial audit or any construction or installation of energy conservation measures or materials performed on the home; the Grantee principle investigator (Energy Specialist) must field monitor a minimum of five percent (5%) of the completed jobs (no less than one (1)) for Quality Assurance. The percentage of jobs to be field monitored for Quality Assurance will round up to the nearest whole number.
2. For completed units where the Auditor/QCI is an individual that performs the initial audit and develops the scope of work but is not involved with any of the construction or installation of energy measures or materials performed on the home and this same Auditor/QCI performs the Quality Control Inspection; the Sub-grantee will be subjected to more oversight. In this scenario, the Grantee principle investigator (Energy Specialist) will field monitor ten percent (10%) of the completed jobs (no less than two (2)) for Quality Assurance. The percentage of jobs to be field monitored for Quality Assurance will round up to the nearest whole number. Several Sub-grantees for the Arizona WAP program have a designated service provider who has QCI certified staff. The service provider will be an acceptable Auditor/QCI as long as the QCI Certified staff of the service provider did not perform any construction or installation of energy conservation measures or materials.

If the state discovers significant deficiencies (health and safety violations, poor quality installation of materials, major services missed, etc.), the state will elevate the number of completed jobs inspected to no more than 15% and will increase the frequency of visitation including review of units in progress until deficiencies are resolved.

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Interim inspections will not be counted as Quality Control or Quality Assurance inspections.

The Monitors for the state and certificates held will be:

Name	Type of Monitor	Funded by
Michael Frary	Technical / QCI Certified	15% Administrative
Gloria Castro	Financial & Program Monitoring/Administrative	50% Administrative
Daniel Boyle	Financial & Program Monitoring	5% Administrative
Samantha Winslow	Financial & Program Monitoring	5% Administrative
Kathy Blodgett	Administrative (Business Manager)	15% Administrative

We receive funds from DES LIHEAP and one (1) of the state utilities to assist with the travel budget and funds for monitoring the ten-(10) weatherization Sub-grantees.

A. Role

The Sub-grantees will be routinely monitored to:

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

B. On-Site Monitoring

Program and fiscal monitoring will be used to determine the program and operational effectiveness of Sub-grantees. Customer files, and Sub-grantee financial systems, records and reports will also be routinely monitored to verify the Sub-grantee's ability to prudently deliver, support, and manage installations of allowable cost effective and energy efficient measures.

On-site monitoring of Sub-grantees is performed by technical and fiscal monitoring program staff to identify methods, deficiencies, and successes in program operations and to assess technical assistance needs to develop appropriate training courses.

Inspection of completed dwelling units is done to monitor prioritization of weatherization measures, accuracy of energy audit, job costs, quality of workmanship and material, and that the work completed is reflected in the job files. Inspection of warehouse if applicable is completed to insure adequate space and security are available at reasonable costs for the material inventory. In addition, material inventory itself and condition of materials are verified.

B.1 On-Site Technical

On-site technical monitoring will be done by the Grantee's Energy Specialist who has received their Quality Control Inspector certification. The inspection will be of homes that have received a Quality Control Inspection by the sub grantee's Quality Control inspector have expended DOE funds and have been reported into the state's database as completed. Sub-grantee Quality Control Inspections will be performed by a qualified QCI Inspector who has been independent from work performed and is not a Grantee staff person.

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

Grantee will visit weatherization Sub-grantees at least once a year for monitoring. A ten percent (10%) random sampling of Client files will be reviewed to include the following:

1. Client File Checklist (required)
2. Eligibility Determination (including the required Annual Income Calculations Form) & Client Information including hard copy evidence provided by the Sub-grantee that the client is income eligible to receive WAP services. This evidence may include, but is not limited to, third party verification from the source of income (employer, unemployment agency, social security income) of the family or source documentation for each income source listed on the application.
3. Certification of Zero Income Form (required if applicable)
4. Proof of Ownership or Signed Rental Agreement
5. Deferral Information (if applicable)
6. State Historic Preservation Documentation (if applicable)
7. Previous Weatherization Checklist. (required form)
8. Clients Rights and Responsibilities Form (required form)
9. Client Complaints and Documented Resolution (if applicable)

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10. Progress Form; Includes client sign-off on:
 - a. Receipt of "Client Rights and Responsibilities Form"
 - b. Client Agreement (visits for quality assurance and funder monitoring)
 - c. Receipt of Warrantees
 - d. Statement of Completion
11. Household Action Plan (required form)
12. Client Health and Safety Evaluation Forms (2)
 - a. Client use (if client so chooses)
 - b. Auditor use (required form)
13. Work Agreement/Scope of Work
 - a. Form is supplied by Sub-grantee
 - b. must be signed by Client
 - c. Must include any Low Cost/No Cost measures
14. Priority Checklist or Copy of REM or OptiMiser w/Field Waiver Request (if applicable)
15. Residential Diagnostic Evaluation Form (required form)
 - a. Initial Inspection and Diagnostics
 - b. Final Inspection and Diagnostics
 - c. Project Photos Pre-work and Post work (may be inserted into form or saved separately)
 - d. Photos of Appliances/HVAC before and after replacement (may be inserted into form or saved separately)
16. Quality Control Inspection Checklist (required form)
17. Hazard Disclosure Form; Includes client sign-off that information, notifications and release were given to them regarding:
 - a. Lead Paint
 - b. Mold Assessment and Release
 - c. Radon
18. Lead Safe Weatherization (if applicable)
 - a. Testing results showing no lead; or
 - b. Lead Safe Work Practices documentation per EPA requirements, Include Certified Renovator documentation, photographs demonstrating proper practices were followed, etc.
19. Materials and Labor Costs: including invoices and purchase orders (Contractor and crew based)
20. Bid/Equipment/Calculation/Specification Details
21. Inventory Sheets (if applicable)
22. Low-Cost/No-Cost Documentation
 - a. Cannot exceed \$250
 - b. Notations must be made in the AZWAP database indicating what the actual low cost/no cost measure was and break out the amounts by funding source used for the measure.
23. Landlord/Tenant Agreement (required form if applicable)
24. Refusal for Services, Indemnification & Waiver of Claims
25. Health & Safety (HSD) Waiver
 - a. required if HSD will exceed \$2,000
 - b. Must be approved and signed by ADOH Energy Specialist
26. Sub-grantee Statement of Completion
27. Utility Information Release Authorization Form
28. Sub-grantee Contractor Oversight Form (if applicable)

Grantee will perform job site field monitoring audits on a minimum of five percent (5%) of weatherization completions for Sub-grantees using Independent QCI and 10% for Sub-grantees using Auditor/QCI (See Section V5.3 for definition). Grantee will inspect in-progress units as needed. The field monitoring will be an analysis of quality of field practices, including:

1. Audit precedures and compliance with audit protocols and work orders
2. Diagnostics
3. Overall effectiveness
4. Compliance wiht Arizona Success with Weatherization Field Guide
5. Workmanship
6. Thoroughness
7. Health and safety issues
8. Agency final inspection procedures
9. Training needs

Grantee staff will randomly select the weatherization completions to be inspected by reviewing jobs submitted in the database, unless particular jobs are deemed to require review. The Sub-grantee will be notified of the homes selected for inspection prior to the visit to allow coordination with the homeowners.

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1. Grantee will use the Arizona Success with Weatherization Field Guide and/ or the Standard Work Specifications to evaluate the weatherization jobs.
2. Grantee may recommend re-works, re-inspections, and T&TA visits in response to findings.
3. Grantee will investigate legitimate customer complaints, which may result in the Sub-grantee being required to return to correct errors or omissions.
4. Grantee will note concerns about Sub-grantee operations on the inspection report.
5. Grantee will disallow costs and/or designate the Sub-grantee as high-risk and place the Sub-grantee on a Watch List in response to recurring major findings or persistent noncompliance with Arizona WAP policy.

The monitoring visit will be documented and a Field Monitoring Summary Report will be prepared and provided to the Sub-grantee within thirty (30) calendar days following the completion of the monitoring event. The summary report will serve as the written results of the on-site technical visit. The reports will be based on:

1. **Findings**—an issue that may be a violation of rules or standards and needs to be addressed.
2. **Concerns**—an issue that may not be in violation of rules or standards but needs to be addressed.
3. **Recommendations**—notation based on monitor's experience and expertise on how to improve certain aspects of the program.

When Findings and/or Concerns are identified, Sub-grantees will be required to submit a Corrective Action Plan within thirty (30) days of receipt of the Field Monitoring Summary Report. The submission must include a description of the corrective actions taken as well as a timeline for implementation of those actions. The Sub-grantees will submit their Corrective Action Plan to the ADOH WAP Energy Specialist who will review and approve the plan or require further actions to be taken.

B.2 On-Site Or Virtual Fiscal

In accordance with the State Plan, on-site or virtual fiscal monitoring visits are required to evaluate Sub-grantees' general administration and program management systems at least once a year. ADOH WAP performs an annual review of the Financial Audits for all ten (10) Sub-grantees per the requirements of WPN 20-4.

Grantee will notify Sub-grantees of scheduled on-site or virtual fiscal monitoring event at least two (2) weeks prior to the appointment. The visit or virtual review typically requires a minimum of two (2) days to complete and requires frequent interaction with Sub-grantee staff.

Key issues identified during the fiscal monitoring:

1. Procurement
2. Invoicing techniques and fiscal oversight practices
3. Accurate job costing
4. Proper designation of expenses between Administration and Program Operations
5. Property records and inventory control

If a virtual fiscal monitoring will be conducted, Sub-grantees will be required to submit documentation through a secure file transfer portal that ensures the protection and privacy of individual's information.

Following the on-site or virtual fiscal monitoring visit, a Summary of Findings Report will be prepared and typically provided to the Sub-grantee within thirty-(30) calendar days following the completion of the monitoring event.

When Deficiencies are identified, Sub-grantees will be required to submit a Corrective Action Plan within thirty-(30) days of receipt of the Summary of Findings Report. The submission must include a description of the corrective actions taken as well as a timeline for implementation of those actions. The Sub-grantees will submit their Corrective Action Plan to the ADOH WAP Contract Specialist who will review and approve the plan or require other actions to be taken.

C. Desktop Monitoring

ADOH reviews Sub-grantees entries into the AZWAP database as well as monthly payment requests to determine if the Sub-grantee is meeting its goals and expenditures in compliance with expenditure schedules.

Every month, each agency will be desktop monitored through the AZWAP.org database on the completed jobs submitted for that month. The AZWAP.org database will be closed to completed jobs on the 15th of each month. Upon receipt of the Sub-grantee's request for reimbursement of expenses, a random sampling ten percent (10%) desktop review of diagnostic performance on the completed jobs will occur. Should ongoing diagnostic performance issues be identified through desk review, the ADOH Principle Investigator (aka Energy Specialist) will increase the random sampling to twenty-five percent (25%). However, 100% of the Sub-grantees' request for reimbursement of expenses for completed jobs will be desk monitored for eligible weatherization costs and expenditures.

The goals of desktop monitoring are:

1. Performance analysis of weatherization work in the home;
2. Review of weatherization expenditures (costs allocated to appropriate funding source);
3. Eligibility and compliance issues; and
4. Identify specific focus areas for an agency visit, including problematic jobs.

If a compliance issue occurs, Sub-grantees will be issued a desktop monitoring report that identifies items needing correction and the request for reimbursement will

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not be processed. The sub grantee will be given fifteen (15) days to comply with the necessary corrections. If the Sub-grantee fails to comply in the 15-day timeframe, funding may be withheld until compliance occurs. A final desk audit report will be sent to the agency after all issues have been addressed. If any of the identified issues are uncorrectable, the Sub-grantee will not be reimbursed and the unit will not be considered a completed DOE unit.

D. Tracking

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

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

E. Analysis

All Sub-grantees must develop and maintain fiscal and accounting procedures, which conform to both federal and state policy for grants administration. Sub-grantees must also submit monthly Financial Status Reports. In addition, Sub-grantees are governed by 2 CFR 200, which set forth principles for determining allowable costs of programs under grants, contracts, and cooperative agreements with the federal government.

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

The controls and procedures to be implemented are as follows:

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

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

V.8.4 Training and Technical Assistance Approach and Activities

After review of the ADOH WAP training policy and its compliance with 10 CFR 440 and WPN 15-4, ADOH has determined several changes to the Training and Technical Assistance Policies and Procedures should be made in order to be fully compliant with DOE requirements. DOE Monitoring indicated a lack of comprehensive training. However, after further review ADOH was able to demonstrate that comprehensive training was provided. However, the training provided was not sufficiently tracked per DOE requirements. ADOH is currently working with the Southwest Building Science Training Center (SWBSTC) to re-organize and reinvigorate the Training and Technical Assistance Policies and Procedures to rectify this concern. SWBSTC is researching an effective tracking system for ADOH approval and the new system should be in place within the next year.

For training purposes, ADOH in partnership with SWBSTC will conduct an Auditing training class that will result in a certificate of completion. Still under development, the course will be mandatory with refresher training every two (2) or three (3) years. All sub grantees will be required to send at least one employee through the training along with all in house auditor staff. For Sub Grantees that use outside contractors, the contractor's employees that provide the audit service will be required to complete the training course. Sub-grantee completion of Auditor training will provide the understanding and ability to effectively review audits and energy modeling to eliminate errors and omissions before the Waiver

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Request and Energy Modeling is submitted to ADOH for approval by the Energy Specialist/Principle Investigator. The Auditing Training and Certification will primarily meet Tier 2 Specific training requirements but will also include some Tier 1 Comprehensive training curricula. ADOH anticipates the new Auditing Training and Certification will be available in the next six (6) to eight (8) months. Sub-grantees will complete the training first with their contractors to follow. Refresher training will ensure that the Sub-grantee and Contractor weatherization practitioners are receiving the most relevant training that is up to date with changing regulations and weatherization standards. ADOH is also working in partnership with SWBSTC to develop a better Tier 1 Comprehensive Training policy that will better address the needs of the state, sub-grantees and weatherization contractors and will more closely align with the individual JTA's. The new policy will minimize pulling contractors from the field to attend training not relevant to their specific expertise and position but still provide for JTA crossover training. A cycle of training offerings will be developed to go along with the new Tier 1 Comprehensive Training policy. Individual JTA training that does not cross over into other JTAs will be added into the schedule of training offerings.

ADOH current training policy was geared toward a previously more crew based weatherization program. The State now only has two (2) to three (3) Sub-grantees that provide the audit and one (1) Sub-grantee that completes audits plus the majority of the work in house. The State's remaining Sub-grantees use contractors to perform construction and installation of energy saving measures to the homes. Over the course of the next year or two (2), changes to the ADOH WAP Training and Technical Assistance Policies and procedures will be made and will incorporate some existing training policy with new policy to ensure that Arizona WAP is in compliance with 10CFR440 and WPN 15-4. Policy will require that weatherization field staff (Sub-grantee and/or Contractor) will be appropriately trained. Providing quality training will give the Sub-grantees and their contractors ADOH will continue to promote Sub-grantee and Contractor attendance and participation at conferences like Energy Out West or Building Performance Association to gain knowledge of new technologies and best practices that could be incorporated into the State's Weatherization program.

Until the State's new Training and Technical Assistance Policies and Procedures are fully developed, ADOH in partnership will continue to follow the following policies, which will be fully monitored and tracked:

T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities shall be designed to maximize energy savings, minimize production costs, improve program management, crew and contractor quality of work, and reduce the potential for waste, fraud, abuse and mismanagement. The Grantee assesses the training needs of its Sub-grantees through monitoring visits and state meetings; planned for one field monitoring per Sub-grantee and quarterly meetings (funds permitting). Additionally, Grantee Desk Monitoring of completed job diagnostics and energy savings may also indicate training needs. Finally, additional trainings may be identified as necessary for implementation of the approved Health and Safety Plan.

Methods Used to Provide Training

1. Formal classroom
2. On-site training
3. Hands-on training
4. Certification Training

Description of Activities to be undertaken:

The ARIZONA WAP requires that the Sub-grantee and its contractors participate in weatherization related trainings that build or enhance their knowledge, skills and abilities to provide weatherization services/energy efficiency retrofits in accordance with the 10 CFR, Part 440 and guidelines set out by the U.S. Department of Energy for the Weatherization Assistance Program. Sub-grantee and Contractor Staff must not function unsupervised until certification requirements are met.

All Comprehensive training will be done at an IREC accredited training center. ARIZONA WAP IREC accredited formal training is carried out at the FSL South West Building Science Training Center (SWBSTC), which is operated by FSL Home Improvements, a non-profit organization. The SWBSTC is one of the 15 U.S. Department of Energy "Legacy" weatherization-training facilities in the country. Training curricula will reflect industry-wide initiatives and program requirements and will be updated as new program requirements or industry trends are identified.

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

Current SWBSTC course offerings include:

1. WAP Boot Camp – This week long course combines Energy 101, Pressure Diagnostic 101, General Thermal Performance, Residential Retrofit Application 101, and Combustion Safety course into a weeklong training course that will provide weatherization professionals with an introduction to energy principles, thermal performance, health and safety standards, LSW, auditing, pressure diagnostics, and field repair. This course also trains Health and Safety concerns as indicated in the Grantee's Health and Safety Plan of Radon, Lead, Mold/Moisture, Electrical, Carbon Monoxide, the causes and effects of these concerns and mitigation. The WAP Boot Camp course provides a combination of classroom and hands-on instructions that will prepare candidates to perform the tasks required of weatherization technicians within the current Weatherization Program Guidelines.
2. Energy 101
3. Pressure Diagnostics 101
4. Combustion Safety
5. General Thermal Performance
6. REM design
7. WAP admin
8. Lead RRP Certification
9. BPI Certification for Building Analyst
10. OSHA 10/30 Certifications
11. Energy Auditor Certification

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12. Installer Certification
13. Quality Control Inspector certification/re-certification (micro-credential to Energy Auditor)
14. Success with Weatherization - Critical Details

Though SWBCTC offers these courses, training for OSHA, BPI and other necessary WAP training can be provided by any accredited provider for the required certificates.

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

Each Sub-grantee will be required to maintain training records for its employees and contractors participating in the weatherization program. The training record will list all their training courses they have attended, certifications they possess and date of expiration of those certifications. This information is expected to be updated on an annual basis and provided to Grantee. Certifications are tracked through 2 forms that are updated annually in July or at the time of monitoring and submitted by the Sub-grantees to the Grantee. These forms can be downloaded from the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization> and are as follows:

1. Employee Certification and Verification Form
2. Sub-grantee/Contractor Certification Verification Form

Grantee will periodically review training performance of Sub-grantees by way of Sub-grantee self-assessment surveys, on-site monitoring and communication with SWBCTC on specific training deficiencies and needs.

Required Training

Crew Leader

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

Auditor and Inspectors

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

Quality Control Inspectors

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

Required- New Field Employees and/or Contractors

Within 6 months of Employment

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

Within 1 year of employment

1. Combustion Safety
2. Success with Weatherization (Critical Details)

Comprehensive Training (fka Tier 1)

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

Comprehensive training will be based on a rotating once every three-year training schedule for each JTA: Auditor, Crew Chief and Installer. The Comprehensive Training schedule will begin with the Auditor training in Mid Program Year 18. The following year will be Crew Chief training and finally year three will cover Installer training. Year four will rotate back to Auditor training, etc. QCI certification will occur every three years with the next required training in the fall of 2020. .

Specific Training (fka Tier 2)

Specific training does not require an accredited program and is made up of both field and classroom training. Specific Training is not a pre-scheduled training. Rather, the training will be done when concerns arise during a Grantee Field monitoring, Quality Assurance visit, desk audit, internal audit, database or energy audit review, DOE monitoring or IG reports etc. If there are consistent issues, the Sub-grantees must send workers to training that will address the issues.

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

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

Contractor Training

Training of contractors is an allowable cost through T&TA funds, though any costs associated with training contractors shall be preceded with a retention agreement in exchange for the training. Reimbursement of labor, mileage, meals and lodging costs for contractors attending trainings is not allowable. Sub-grantees shall consider whether the term of the retention agreement aligns with the cost of training provided. Sub-grantees will be responsible to ensure their contractors are meeting the requirements for Comprehensive and Specific training. On an annual basis, Sub-grantees must provide a completed WAP Sub-grantee/Contractor Certification Verification Form to the Grantee for desk monitoring purposes to assist with determining if DOE training requirements per WPN 15-4 are being met.

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

Certified Quality Control Inspectors

Arizona Department of Housing (ADOH) Weatherization Policies and Procedures require each Sub-grantee to have a Certified Quality Control Inspector on staff or have a contractual agreement with a third party Certified QCI Inspector. There are currently two (2) third party QCI inspectors working with six (6) out of 10 of the Sub-grantees serving rural Arizona. Three (3) metropolitan Sub-grantees have a designated service provider with QCI staff and one (1) Metropolitan Sub-grantee has one (1) QCI certified staff person. Arizona has not experienced a reported delay in obtaining a QCI for completed DOE units. However, through a contractual agreement, ADOH has the ability to make the three Certified QCI inspectors from Foundation for Senior Living available to the Sub-grantee network should there become a backlog. This makes up to five (5) third party Certified QCI available to the Sub-grantee network.

Client Education

Client education activities are highly encouraged. Sub-grantees have received technical assistance regarding client education techniques and opportunities. This is reinforced during field monitoring visits as the monitor is trained to speak with clients about various energy saving (and some non-energy savings) steps they can take such as; changing filters once a month, using CFLs or LEDs, responsible management of their thermostats, water heater temperature usage and settings, combustion appliance safety, moisture control, and lead safety. Sub-grantees are required to distribute the lead booklet, "Renovate Right" (when potential for hazard exists), and mold and moisture awareness, pamphlet "A Brief Guide to Mold, Moisture, and Your Home" to clients prior to weatherization. Client education can occur at different times throughout the process and can include distribution of client educational material at the time of application as well as one-on-one during and post weatherization work by the energy auditor and/or field crew staff. Each Sub-grantee must determine the best method of ensuring energy education is performed. Sub-grantees must have the client sign the Hazard Disclosure Form acknowledging receipt of the lead, mold and radon materials. Additionally, Sub-grantees should complete the Household Action Plan Form, have the client sign and provide a copy to the client. The Original signed form should be retained in the Client's file. The Household Action Plan Form is available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>.

Additionally, Arizona Utilities (APS, SRP, SWG, TEP and Unisource Energy) all use the same brochure available in English and Spanish called "Home Energy Saving Checklist. This brochure is free and available to any community partner from <https://energyassistaz.com/secure/ContactForm.aspx> and lists no cost and low-cost ways to save energy and reduce utility bills.

Percent of overall trainings

Comprehensive Trainings:	50.0
Specific Trainings:	50.0

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Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	40.0
Percent of budget allocated to Crew/Installer trainings:	40.0
Percent of budget allocated to Management/Financial trainings:	20.0

V.9 Energy Crisis and Disaster Plan

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

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

Weatherization vehicles and/or equipment may be used for disaster relief purposes other than weatherization services, as long as WAP is reimbursed according to the 2 CFR 200.

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

1. Providing WAP personnel to assist with disaster relief recovery activities using WAP funds other than weatherization services
2. Removal of debris from dwellings that will not receive weatherization work
3. Damage to materials that are covered by insurance or another form of compensation.

The average cost for disaster relief of the dwelling units cannot exceed \$6,500. Further guidance is available from WAPTAC.org website: reference: Weatherization Program Notice 12-7. Sub-grantees may also contact the Grantee with questions.