

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007907		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of California 2389 Gateway Oaks Sacramento, CA 958120000		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	\$ 6,433,067.00		\$ 8,349,546.00		\$ 14,782,613.00
2.						
3.						
4.						
5. TOTAL		\$ 6,433,067.00	\$ 0.00	\$ 8,349,546.00	\$ 0.00	\$ 14,782,613.00

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	\$ 185,107.00	\$ 0.00	\$ 108,553.00	\$ 0.00	\$ 293,660.00
b. Fringe Benefits	\$ 86,186.00	\$ 0.00	\$ 50,543.00	\$ 0.00	\$ 136,729.00
c. Travel	\$ 4,201.00	\$ 0.00	\$ 4,200.00	\$ 0.00	\$ 8,401.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 410.00	\$ 0.00	\$ 410.00
f. Contract	\$ 246,352.00	\$ 869,184.00	\$ 818,639.00	\$ 1,142,233.00	\$ 14,030,935.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 9,700.00	\$ 0.00	\$ 9,700.00
i. Total Direct Charges	\$ 521,846.00	\$ 869,184.00	\$ 992,045.00	\$ 1,142,233.00	\$ 14,479,835.00
j. Indirect Costs	\$ 104,369.00	\$ 0.00	\$ 198,409.00	\$ 0.00	\$ 302,778.00
k. Totals	\$ 626,215.00	\$ 869,184.00	\$ 1,190,454.00	\$ 1,142,233.00	\$ 14,782,613.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 6,433,067.00	\$ 0.00	\$ 8,349,546.00	\$ 0.00	\$ 14,782,613.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 293,660.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 136,729.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 8,401.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 410.00
f. Contract	\$ 8,954,990.00	\$ 1,930,537.00	\$ 69,000.00		\$ 14,030,935.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 9,700.00
i. Total Direct Charges	\$ 8,954,990.00	\$ 1,930,537.00	\$ 69,000.00		\$ 14,479,835.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 302,778.00
k. Totals	\$ 8,954,990.00	\$ 1,930,537.00	\$ 69,000.00		\$ 14,782,613.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

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IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Campesinos Unidos, Inc. (Brawley)	\$730,441.00 73
Central Valley Opportunity Center, Inc. (Winton)	\$566,973.00 57
Community Action Agency of Butte Co., Inc. (Oroville)	\$430,000.00 43
Community Action Partnership of Kern Co. (Bakersfield)	\$450,000.00 45
Community Action Partnership of Orange County (Garden Grove)	\$400,000.00 40
Community Action Partnership of Riverside County (Riverside)	\$365,592.00 37
Community Action Partnership of San Bernardino County (San Bernardino)	\$824,227.00 82
Community Resource Project, Inc. (Sacramento)	\$4,065,261.00 407
Community Services and Employment Training, Inc. (Visalia)	\$143,943.00 14
Fresno Co. Economic Opportunities Commission (Fresno)	\$475,000.00 48
Glenn County Human Resource Agency (Willows)	\$242,654.00 24
Great Northern Services (Weed)	\$105,742.00 11
Inyo-Mono Advocates of Community Action, Inc. (Bishop)	\$35,000.00 4
Kings Community Action Org., Inc. (Hanford)	\$413,518.00 41
Maravilla Foundation (City of Commerce)	\$659,446.00 66
Merced County Community Action Agency (Merced)	\$1,411,060.00 141
Metropolitan Area Advisory Committee (MAAC) (Chula Vista)	\$462,270.00 46
Pacific Asian Consortium in Employment (Los Angeles)	\$282,111.00 28
Project Go, Inc. (Roseville)	\$100,000.00 10
Redwood Community Action Agency (Eureka)	\$158,035.00 16
San Joaquin County Department of Aging and Community Services (Stockton)	\$413,785.00 41
Self-Help Home Improvement Project (Redding)	\$130,000.00 13
Spectrum Community Services, Inc. (Hayward)	\$100,886.00 10
Total:	\$12,965,944.00 1,297

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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)	1,297
	1,297
Reweatherized Units	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 1,297

C Total Units Reweatherized 0

D Total Dwelling Units to be Weatherized and Reweatherized (B + C) 1,297

E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D) \$0.00

AVERAGE COST PER DWELLING UNIT (DOE RULES)

F Total Funds for Program Operations \$8,954,990.00

G Total Dwelling Units to be Weatherized and Reweatherized (from line D) 1,297

H Average Program Operations Costs per Unit (F divided by G) \$6,904.39

I Average Vehicles & Equipment Acquisition Cost per Unit (from line E) \$0.00

J Total Average Cost per Dwelling (H plus I) \$6,904.39

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	1297	29.3	38002
Prior Year Estimate	1703	29.3	49898
Prior Year Actual	1526	29.3	44712

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

CSD has no planned DOE-funded leveraging activities this year.

IV.5 Policy Advisory Council Members

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

Amador-Tuolumne CAA-PAC	Type of organization: Local agency Contact Name: Joe Bors, Program Manager Phone: 2099843684 Email: jbors@atcaa.org
Berkeley CAA - PAC	Type of organization: Local agency Contact Name: Andrew King Phone: 5109815400 Email: hhs@cityofberkeley.info
	Type of organization: Local agency

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CAA Butte - PAC	Contact Name: Thomas Tenorio Phone: 5307122881 Email: ttenorio@buttecaa.com
CAB Santa Cruz - PAC	Type of organization: Local agency Contact Name: Maria De La Garza Phone: 8317632147 Email: mariaelena@cabinc.org
Calaveras-Mariposa Community Action Agency	Type of organization: Unit of Local Government Contact Name: Kristen Brink Phone: 2097546452 Email: kbrink@co.calaveras.ca.us
CAP of Kern - PAC	Type of organization: Local agency Contact Name: Jeremy Tobias Phone: 6613365236 Email: jtobias@capk.org
CAP of Riverside - PAC	Type of organization: Local agency Contact Name: Brenda Freeman Phone: 9519553563 Email: bfreeman@capriverside.org
CAP of San Bernardino - PAC	Type of organization: Local agency Contact Name: Patricia Nickols-Butler Phone: 9097231514 Email: plnickols-butler@capsbc.org
CAP of San Luis Obispo County, Inc. - PAC	Type of organization: Local agency Contact Name: Elizabeth Steinberg Phone: 8055444355100 Email: esteinberg@capslo.org
CAP of Solano - PAC	Type of organization: Local agency Contact Name: Kathy Lawton-Caesar Phone: 7074228810 Email: klawton@suisun.com
CAP of Sonoma - PAC	Type of organization: Unit of Local Government Contact Name: Susan Cooper Phone: 7075446911 Email: info@capsonoma.org
CET - PAC	Type of organization: Local agency Contact Name: Hermalinda Sapien Phone: 9163937401 Email: hsapien@cet2000.org
CHD - PAC	Type of organization: Local agency Contact Name: Anita Maldonado Phone: 7075231155 Email: am@cahumandevlopment.org
City of LA CDD - PAC	Type of organization: Unit of Local Government Contact Name: Jan Perry Phone: 2137447333 Email: Jan.Perry@lacity.org
City of Oakland DHS - PAC	Type of organization: Unit of Local Government Contact Name: Sara Beford Phone: 5102382362 Email: sbedford@oaklandnet.com
Community Action Commissioin of Santa Barbara - PAC	Type of organization: Local agency Contact Name: Kemba Lawrence Phone: 8059648857145 Email: klawerence@cacsbs.com
Community Action Napa Valley - PAC	Type of organization: Local agency Contact Name: Drene Johnson Phone: 7072536100 Email: djohnson@can-v.org

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Community Action of Ventura County, Inc. - PAC	Type of organization: Local agency Contact Name: Dr. Cynder Sinclair Phone: 8054364028 Email: csinclair@ca-vc.org
Community Action Partnership of Orange County - PAC	Type of organization: Local agency Contact Name: Sally Andreatta, Director of EES Phone: 7148390595 Email: sandreatta@me.com
Community Action Partnership of San Luis Obispo - PAC	Type of organization: Local agency Contact Name: Jim McNamara, Energy Director Phone: 805541412211 Email: jmcnamara@capslo.org
Contra Costa EHSD - PAC	Type of organization: Unit of Local Government Contact Name: Kathy Gallagher Phone: 9256816345 Email: kgallagher@ehsd.cccounty.us
County of LA Dept of PSS - PAC	Type of organization: Unit of Local Government Contact Name: Lupe Gamez Phone: 5629085715 Email: lupegamez@dpss.lacounty.gov
County of San Diego - HHS CAP - PAC	Type of organization: Local agency Contact Name: Dale Fleming Phone: 6193382799 Email: dale.fleming@sdcounty.ca.gov
County of Yolo Dept of ESS - PAC	Type of organization: Unit of Local Government Contact Name: Joan Planell Phone: 5306612750 Email: joan.planell@yolocounty.org
CUI -PAC	Type of organization: Local agency Contact Name: Jose Lopez Phone: 7603515100 Email: cuiimlopez@yahoo.com
CVOC - PAC	Type of organization: Local agency Contact Name: Jorge De Nava Jr. Phone: 2093570078 Email: jdenava@cvoc.org
Del Norte Senior Center - PAC	Type of organization: Local agency Contact Name: Charlaime Mazzei Phone: 7074643069 Email: cmazzei@dnsc1.org
El Dorado County Health and Human Services Agency - PAC	Type of organization: Local agency Contact Name: Patricia Charles-Heathers Phone: 5306216270 Email: patricia.charles-heathers@edcgov.us
Foothill Unity Center - PAC	Type of organization: Local agency Contact Name: Betty McWilliams Phone: 6263583486 Email: betty@foothillunitycenter.org
Fresno Co. Economic Opportunities Commission - PAC	Type of organization: Local agency Contact Name: David Wear, Program Director Phone: 5592631569 Email: david.wear@fresnoeoc.org
Glenn County HRA - PAC	Type of organization: Local agency Contact Name: Christine Zoppi Phone: 5309341439 Email: czoppi@countyofglenn.net
IMACA - PAC	Type of organization: Local agency Contact Name: Charles Broten Phone: 7608738557112

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Karuk Tribe of Calif - PAC	Email: cbroten@imaca.net Type of organization: Indian Tribe Contact Name: Russell Attebery Phone: 5304931600 Email: batteberry@karuk.us
Kings CAO - PAC	Type of organization: Local agency Contact Name: Jeff Garner Phone: 5594157202 Email: jgarner@kcao.org
Lassen/Plumas/Sierra CAA - PAC	Type of organization: Local agency Contact Name: Roger Diefendorf Phone: 5302832466 Email: rdiefendorf@plumascdc.org
Los Angeles County NAI Commision	Type of organization: Local agency Contact Name: Sheryl Spiller Phone: 2133515308 Email: cbanks@css.lacounty.gov
Merced County Community Action Agency - PAC	Type of organization: Local agency Contact Name: Mike Polinko, Program Director Phone: 2097231225 Email: mpolinko@mercedcaa.org
Modoc-Siskiyou CAA - PAC	Type of organization: Local agency Contact Name: Chester Robertson Phone: 5302337660 Email: chesterrobertson@co.modoc.ca.us
Monterey County CAP - PAC	Type of organization: Local agency Contact Name: Margarita Zarraga Phone: 8317558492 Email: mcdcss@co.monterey.ca.us
Nevada County Dept of HCV - PAC	Type of organization: Local agency Contact Name: Rob Choate Phone: 5302651645 Email: rob.choate@co.nevada.ca.us
North Coast Oppprtunities - PAC	Type of organization: Local agency Contact Name: Patty Bruder Phone: 7074621956 Email: pbruder@ncoinc.org
Northern California Indian DC	Type of organization: Local agency Contact Name: Terry Coltra Phone: 7074458451 Email: tcotra@ncidc.org
Project Go, Inc. - PAC	Type of organization: Local agency Contact Name: Lynda Timbers, Executive Director Phone: 9167823443 Email: lynda@projectgoinc.org
Proteus Inc - PAC	Type of organization: Local agency Contact Name: Mike McCann Phone: 5597335423 Email: mike@proteusinc.org
Redwood CAA - PAC	Type of organization: Local agency Contact Name: Val Martinez Phone: 7072692009 Email: valmartinez@rcaa.org
Sacramento Employment and Training Agency - PAC	Type of organization: Local agency Contact Name: Kathy Kossick Phone: 9162634364 Email: kathy@delpaso.seta.net
	Type of organization: Local agency

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Sacred Heart Community Service - PAC	Contact Name: Poncho Guevara Phone: 4082782175 Email: poncho@sacredheartcs.org
San Benito Dept of CSWD - PAC	Type of organization: Local agency Contact Name: Jim Rydingsword Phone: 8316379293 Email: jrydingsword@cosb.us
San Joaquin County Dept of Aging & Community Serv - PAC	Type of organization: Local agency Contact Name: Michael Miller Phone: 2094681650 Email: mimiller@sjgov.org
San Mateo Co HSA - PAC	Type of organization: Local agency Contact Name: Iliana Rodriguez Phone: 6508023378 Email: irodriguez@mcgov.org
Shasta CAA - PAC	Type of organization: Local agency Contact Name: Laura Burch Phone: 5302255182 Email: lburch@co.shasta.ca.us
Sutter County CAA - PAC	Type of organization: Local agency Contact Name: Brynda Stanix Phone: 5307518555 Email: bstranix@ysedc.org
Tehama Co CAA - PAC	Type of organization: Local agency Contact Name: Amanda Sharp Phone: 5305284078 Email: asharp@tcdss.org
Yuba County CSC - PAC	Type of organization: Local agency Contact Name: Wendy Hartman Phone: 5307495470 Email: whartman@co.yuba.ca.us

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

Date Held Newspapers that publicized the hearings and the dates the notice ran

04/30/2021 4/20/21 - CSD Public website posting; 4/19/21 - CSD Local Agency Portal website posting; 4/20/21 - CSD Twitter posting; 4/20/21 - CSD Facebook posting; 4/20/21 - Listserv emails through CSD public website

IV.7 Miscellaneous

Recipient Business Officer

Kathy Andry Deputy Director of Energy and Environmental Services Division Kathy.Andry@csd.ca.gov 916-576-7132

Recipient Principal Investigator

Leslie Campanella Program Manager, Technical Support Unit Leslie.Campanella@csd.ca.gov 916-576-7131

Redistribution of Funds

Funds may be redistributed to another Subgrantee(s) who has capacity to spend out for the following reasons:

- A Subgrantee cannot meet their production goals.
- A Subgrantee is not in compliance with program requirement or other extenuating circumstances.
- A Subgrantee has determined that DOE funds are insufficient to administer and maintain the DOE program at the local level.
- A Subgrantee does not maintain the services of a certified Quality Control Inspector for the duration of the contract term.

Considerable efforts will be made to serve the affected service area, but it will be dependent upon the ability to secure an alternate Subgrantee for the remainder of

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the contract period.

American Customer Satisfaction Index (ACSI)

DOE utilized the ACSI to survey Subgrantees to gather feedback on various aspects of Grantee program operation and to identify opportunities for improvement. To ensure that the maximum benefit is achieved from this process, CSD developed an action plan to enhance program management and quality improvements for implementation during the current grant year based upon survey results. Refer to Appendix G DOE WAP State Level ACSI Survey Response.

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

Income is defined as cash receipts earned and/or received by the dwelling occupant(s) before taxes within six weeks of the application intake date and must comply with the stated acceptable forms of income documentation referenced in Attachment H – CSD Eligibility and Verification Guide (rev. 10/01/2020). Certain types of income are excluded from total household income including but not limited to: capital gains, non-cash benefits, employee fringe benefits, reverse mortgage, child support, and money received from the sale of a property, house, or car; tax refunds.

Describe what household eligibility basis will be used in the Program

Eligibility is based on the household's total monthly gross income, which cannot exceed the DOE income guidelines. CSD uses the federal poverty level of 200% as determined by the Office of Management and Budget as follows:

Household Size	DOE Monthly Income 200% Federal Poverty Effective 7/1/21
1	\$2,146.67
2	\$2,903.33
3	\$3,660.00
4	\$4,416.67
5	\$5,173.33
6	\$5,930.00
7	\$6,686.67
8	\$7,443.33
9	\$8,200.00
10	\$8,956.67
11	\$9,713.33
12	\$10,470.00
13	\$11,226.67
14	\$11,983.33
15	\$12,740.00
16	\$13,496.67
17	\$14,253.33
18	\$15,010.00
19	\$15,766.67
20	\$16,523.33
21	\$17,280.00
22	\$18,036.67
23	\$18,793.33
24	\$19,550.00
25	\$20,306.67

Priority is given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children under 19, and households with high energy burden. Subgrantees will be required to develop a service priority plan based on energy burden. CSD will review and approve service priority plans as part of the contract execution process. Refer to Attachment H – CSD Eligibility and Verification Guide (rev. 10/01/2020).

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

The Welfare Reform Act, officially referred to as the Personal Responsibility and Work Opportunity Act of 1996, H.R. 3734, placed specific restrictions on the eligibility of aliens for “federal means-tested public benefits” for a period of five years. As defined in a Federal Register notice dated August 26, 1997 (62 FR 45256) the Department of Health and Human Services (HHS) is interpreting “federal means-tested public benefits” to include only those benefits provided under Federal means-tested, mandatory spending programs. HHS Information Memorandum LIHEAP-IM-25 dated August 28, 1997, states that all qualified clients, regardless of when they entered the U.S., 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 ensure program continuity between LIHEAP and DOE weatherization for all Subgrantees operating both programs, the DOE Weatherization Assistance Program will follow the interpretation as adopted by HHS.

The DOE and LIHEAP weatherization are in compliance with LIHEAP-IM-99-10, issued June 15, 1999, which states that weatherization in a multifamily building is not a covered activity for status verification.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Subgrantees maintain a client file for each unit weatherized, including documented proof that the dwelling unit is an eligible dwelling unit as defined in 10 CFR Section 440.22.

Describe Reweathering compliance

Weatherization services for a dwelling unit previously weatherized using DOE funds are not allowable except if:

- A dwelling unit has been damaged by fire, flood, or act of nature and qualifies for disaster relief services in accordance with an approved DOE Disaster Relief Plan; or
- A dwelling unit has not been weatherized using Federal funds (DOE WAP, DOE ARRA, LIHEAP, HUD, or USDA) within fifteen years of the date such previous weatherization was completed.

Each dwelling must receive a new assessment, diagnostic testing and energy audit which will take into account any previous energy conservation improvements to the dwelling. Only those energy conservation measures at or above a savings-to-investment ratio (SIR) of 1.0 are allowable.

To confirm a dwelling’s eligibility for DOE WAP, Subgrantees must check their historical dwelling service records to confirm there is no prior history of DOE WAP or other federal program weatherization services for the dwelling and verify the household’s income is within the program income eligibility guidelines, before committing to provide weatherization services under DOE WAP. CSD also maintains dwelling service records in a weatherization database dating from 2009.

Describe what structures are eligible for weatherization

The following structures are eligible for weatherization services:

Mobile or Manufactured Home - A manufactured home regulated by the California Department of Housing and Community Development (HCD) that is built on a trailer chassis and designed for highway delivery to a permanent location, and it can be a single-, double-, or triple-wide home. A mobile home must be a permanent, full-time residential dwelling with a floor area of at least 330 square feet.

Multi-Family Dwelling Unit – A dwelling structure containing two or more dwelling units.

Shelter- A dwelling unit or units whose principal purpose is to house for ninety (90) days or less on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

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Single Family Dwellings – A dwelling structure containing no more than one dwelling unit.

Describe how Rental Units/Multifamily Buildings will be addressed

To ensure that the benefits of weatherization to occupants of rental units are protected, CSD's contracts require Subgrantees to assure that owners and renters receive equitable treatment under this program and no undue enhancements to the dwelling occur.

Language is included on all energy service agreement forms that prohibits property owners from raising rents within two years as a result of building improvements from weatherization work, discloses tenant complaint procedures and property resale restrictions, and stipulates permission to enter the property for purposes of this program. The agreements are signed by owner/occupants, tenants and rental property owners prior to the dwelling receiving weatherization services.

CSD has adequate procedures in place to process tenant complaints regarding any property-owner violation of weatherization service agreement terms and conditions.

CSD will abide by 10 CFR Section 440.22, ensuring that not less than 66% of the units in multi-family buildings (50% for duplexes and four-unit buildings) are eligible units or will become eligible dwelling units within 180 days under a Federal, State or local government program prior to rehabilitating the building or making similar improvements.

CSD follows guidance offered in WPN 17-4 that streamlines the qualification of certain HUD multi-family properties for weatherization work, including streamlining income eligibility determination and ensuring that benefits accrue primarily to the low-income residents.

Describe the deferral Process

Deferral takes place upon discovery of circumstances giving rise to the feasibility of a given measure or other issue causing the installation of weatherization measures to be deferred or omitted. This can be a full deferral of all services or partial deferral of one or more measures if a condition exists that presents a hazard or unsafe condition affecting the health and safety of workers or clients/occupants, and the condition is unable to be resolved within the service scope of WAP. If a condition is outside the service scope of WAP, the CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to document the deferral condition and refer the client to other programs, agencies or outside assistance, if the Subgrantee can identify appropriate contractors and/or other entities to assist the client. Only after the issues identified on the deferral form have been corrected to the satisfaction of the Subgrantee shall weatherization work begin. Further detail of deferral conditions is provided in each section of the CSD Weatherization Health and Safety Plan (Attachment I) and the CSD Technical Reference Manual (TRM) Attachment J – Health and Safety Requirements, Section 11.3 Deferral and Referral Policy and Attachment G – Assessor, Crew Leader, Installer, and Inspector Guide, Section 2.6.2 Deferral Conditions (Attachment J).

V.1.3 Definition of Children

Definition of children (below age): **19**

V.1.4 Approach to Tribal Organizations

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

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

The State ensures that low-income members of the American Indian population receive services equivalent to the assistance provided other low-income persons within the State. CSD recommends that a tribal organization not be treated as a local Subgrantee applicant due to the very low amount of funding that would be available to their organization. The funding would not be enough to start-up and sustain a localized program.

V.2 Selection of Areas to Be Served

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CSD subcontracts with Subgrantees to provide DOE services throughout the state in their designated service area. A service area may be a portion of a county, an individual county, or a group of counties. The projected funding, goals, and other information for each service area are set forth in Subgrantee Information in the Annual File.

When a Subgrantee cannot serve their assigned area for the DOE program, CSD will attempt to contract with a neighboring (in-network) Subgrantee until services can be resumed by the former Subgrantee. If the Subgrantee cannot resume services, it may be necessary to procure a new Subgrantee.

It should be noted that all Subgrantees receive funding under CSD's Low-Income Home Energy Assistance Program (LIHEAP) which provides an array of energy assistance services including weatherization and emergency repairs to heating and cooling appliances. These services are provided throughout the state and at levels significantly higher than WAP.

V.3 Priorities

CSD will ensure by contract that its Subgrantees develop service priority plans giving priority to weatherizing dwellings owned or occupied by low-income persons who are particularly vulnerable to include: elderly persons, persons with disabilities, families with children under 19 years of age and households with high energy burden.

Waiting lists may be maintained by Subgrantees when demand for services exceeds capacity. Each Subgrantee determines how they draw applications from their waiting lists in accordance with established service priority considerations.

V.4 Climatic Conditions

California experiences a wide range of climatic conditions ranging from a Mediterranean-like climate with warm, dry summers and mild, wet winters to temperature extremes in the Central Valley, Mountain and Desert areas. CSD currently uses the U.S. Climate Zone Map provided by the California Energy Commission (CEC) which consists of sixteen climate zones. To be more consistent with the applicability of California Title 24 requirements and to remove the subjectivity related to using weather stations, the CEC climate zones replaced the DOE climate zone map. Priority lists were developed for those site-built dwellings, mobile home and multi-family buildings existing in all climate zones.

The Subgrantees use the data included in the Priority List Policy or Single-Family/Small Multi-Family Energy Audit Protocol to customize the energy audit for dwellings to be weatherized. Much of California requires heating and cooling to achieve comfort standards. Refer to Attachment V California Energy Commission Climate Zones by County and City and Attachment W California Building Climate Zone Map.

With such diverse housing stock spanning the whole of California's 16 climate zones, CSD currently does not track energy savings differences between Subgrantees. CSD does, however, take note of Subgrantees that demonstrate improved effectiveness in the installation of weatherization measures and measure cost efficiencies. These components effectively allow CSD to continue to hone T&TA activities and priorities.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

All weatherization work is performed in accordance with DOE-approved audit procedures and 10 CFR 440 Appendix A. CSD has developed manuals in compliance with WPN 15-4 to guide Subgrantees in the proper delivery of weatherization services. The primary field guidance is the TRM (effective February 1, 2021) which serves as the benchmark for quality workmanship and as a tool for measuring quality performance. The TRM supersedes CSD's former Weatherization Installation Standards (WIS Rev. October 2017) and the CSD Field Guide (Rev. October 2017). The TRM incorporates the Standard Work Specifications (SWS) for Home Energy Upgrades pertaining to material and installation specifications, provides guidance on key work procedures, and outlines the field policies for the Subgrantees. The TRM is available electronically for Subgrantees and their contractors on CSD's Local Agency Portal.

CSD issues Energy CSD Energy Program Notices (CPN) to introduce new policies related to such subjects as asbestos removal, callbacks and audit protocols. Energy Program Advisories (CPA) are issued to provide clarity on the TRM, as needed. In addition, CSD has a technical assistance hotline manned by CSD technical staff.

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CSD contracts contain language requiring Subgrantees to adhere to the latest version of the TRM, Energy Program Notices, Office of Management and Budget (OMB) and other federal and state guidelines and regulations. When subcontracting, Subgrantees are required to include all program requirements in their subcontractor contracts.

A signature on the contract is confirmation by the Subgrantees and their subcontractors acknowledging they understand the expectations of performing work with WAP funds. Full detail of these requirements can be obtained by referring to Attachment K WPN 15-4 Quality Work Plan.

Field guide types approval dates

Single-Family: 2/3/2021
Manufactured Housing: 2/3/2021
Multi-Family: 2/3/2021

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

Approved 4/20/16 - REM/Design and Priority List

Approval Date: 4/20/2021

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

Approved 4/20/16 - REM/Design and Priority List

Approval Date: 4/20/2021

Audit Procedure: Multi-Family

Audit Name: Other (specify)

Approved 4/20/16 - REM/Design and Priority List for MFD of 25 or less units, 3 stories or fewer, individually metered, independently space heated/cooled and water heated; TREAT for all MFD of more than 25 units that do not meet smaller MFD criteria

Approval Date: 4/20/2021

Comments

CSD released the Energy Single-Family/Small Multi-Family Energy Audit Protocol, Priority List Policy and Multi-Family Energy Audit Protocol offering further detail about specific measures and their installation hierarchy. DOE approved CSD's updated protocols on October 8, 2020. The protocols will remain in effect until April 20, 2026, upon which at the time CSD will submit updated protocols to DOE for approval.

The CSD Priority Lists were updated to incorporate utility rates for natural gas and electricity and continue to be updated on an annual basis. REM/Design continues to be used for single-family dwellings, mobile homes and multifamily buildings with 24 or fewer dwelling units, where each unit is independently heated and cooled, and has its own domestic hot water heater. Targeted Retrofit Energy Analysis Tool (TREAT) will continue to be used for all multifamily buildings, except REM/Design may be used for those multifamily buildings of 25 or fewer units, as specified above. Large multifamily buildings where the TREAT energy audit is applicable are 100% energy audit-driven. The protocols coincide with the release of the updated CSD standards and field guide.

For detailed procedures on Energy Audit Requirements for Ancillary Items, Duct Sealing, Heating, Cooling, and Water Heating, Infiltration Reduction, Insulation, Incidental Repairs, and Windows and Doors consult the TRM, Section D Energy Audit/Priority List Protocol (Attachment T).

V.5.3 Final Inspection

Subgrantees are required to review and inspect all dwellings weatherized. A statement on the CSD Weatherization Dwelling Assessment or contractor's equivalent form certifies that all required measures were installed in accordance with contract requirements and shall be signed and dated by the installer.

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Subgrantees are required to have 100% of their completed units inspected by a Certified Quality Control Inspector who has not performed any of the weatherization work on the inspected unit, including any form of assessment, and has met CSD training and DOE certification requirements. For very small Subgrantees where staffing is so limited, it may not be feasible to have a separation of duties between an assessor/auditor and inspector. Exemptions will be granted on a case-by-case basis. CSD will conduct a minimum of 10% quality assurance inspections for all Subgrantees.

If there is not a Certified Quality Control Inspector on staff, the Subgrantee is required to contract with a neighboring Subgrantee or another qualified technical consultant to perform the required inspections. All diagnostic tests are required to be re-performed to ensure that the tests are being properly conducted.

CSD inspections of installed weatherization measures are performed by a contracted third party and CSD QC inspectors. These inspections are comprised of a sampling of weatherized homes. All diagnostic tests will be re-performed to confirm test results. Statewide standards for the installation of weatherization measures and inspections of homes weatherized by Subgrantees will help assure that weatherization measures are being installed properly.

V.6 Weatherization Analysis of Effectiveness

How is the effectiveness of Subgrantee weatherization assessed?

In evaluating the effectiveness of Subgrantees, the following criteria is evaluated:

- The number and type of program compliance findings
- The number and types of measures applied to completed units
- The number and types of inspection findings
- The percentage of contracted funds expended
- Subgrantee staff turnover

CSD's Field Representatives, perform programmatic evaluations. As part of the programmatic evaluations process and monitoring scope, Subgrantees are required to submit various internal policies and procedures, but not limited to, effective internal controls, subcontractor oversight (when applicable) and others pertaining to areas of contractual compliance. The department currently collects individual dwelling data electronically from each Subgrantee in a central database repository maintained at CSD. Information contained in the database repository is used to evaluate the following:

- Cost allowances
- Reasonableness of costs
- Tracking of homes weatherized
- Program compliance

Development of automatic comprehensive analysis and reporting of the data and enhanced reporting is continuing. All changes with respect to CSD's monitoring and inspection protocols, field and programmatic policies and weatherization contracts, are discussed and reviewed with a representative group of Subgrantees before enactment. To help ensure these changes are effectively communicated and implemented, training may be required depending upon the nature of the change(s).

How are training needs being assessed and how are the comparisons used in the development of T&TA activities and priorities?

Training needs are being assessed through programmatic monitoring and field inspection visits. Thus, when training needs are identified, one or more of the following actions are taken:

- The issue is discussed with Subgrantees as part of their exit interviews and/or communicated via formal monitoring and inspection reports.
- As needed, a training referral may be issued and training (field-related or programmatic training, or mentoring) will be coordinated accordingly.

More severe training-related problems can result in multiple visits by field and QA staff to assess improvement, the need for additional training, or conduct comprehensive investigations.

The comparisons between Subgrantees are used in the development of T&TA activities and priorities in the following ways:

- To foster discussion with field staff and, if necessary, executive management concerning barriers whether programmatic or operational.
- To discuss solution options including but not limited to, mentoring and training.
- Assist the identification of best practices supporting strong and effective program administration and service delivery.

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Additionally, any deficiencies identified through on-site programmatic and inspection visits could result in training referrals. If issues are widespread, webinars and/or online trainings are developed and delivered on a statewide basis.

How is the Grantee incorporating monitoring feedback?

Monitoring feedback is incorporated in the following ways (as applicable):

- Programmatic changes.
- Development and future updates of the department's new field standards (TRM)
- Supplemental trainings, as needed.
- Development of resource material that is archived electronically on the Local Agency Portal website.

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

Every year the field monitoring and quality assurance inspection tools are reviewed and updated as required to improve their effectiveness and to incorporate changes addressing new issues identified throughout the previous year. These tools include:

- Improved data transfer rules have been developed and implemented at the local level to ensure improved data collection.
- Diagnostic forms are provided in two formats: hardcopy and automated (Excel with formulated fields). As another option, the Subgrantees' software vendors have developed electronic versions of CSD's assessment form compatible with their local systems. Subgrantees are encouraged to implement the automated or electronic applications for field use. These forms will help with standardization of data collection and provide added value in the field.
- Between 2019 and 2020, CSD convened a Weatherization Improvement Project, whose sole purpose was to update the WIS and Field Guide. Subgrantees provided valuable input that CSD incorporated into the new TRM, which went into effect on February 1, 2021.
- Online training was developed in lieu of the planned regional trainings for the new TRM. Virtual Q&A sessions were held, and a FAQ was created as a result of these session and posted to the Local Agencies Portal.

How is the Grantee tracking Subgrantee performance reviews?

Findings by Field Representatives and the CSD QA team are tracked in spreadsheets to ensure that action plans are completed, and inspection findings are rectified and closed. Significant findings can lead to added compliance monitoring, special contract conditions, or a high-risk designation where more stringent special conditions can be applied and where additional on-site visits and/or desk reviews will occur.

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

Over the period of five years, CSD has seen a significant drop in hazardous fails from our state inspections. Failures in other areas have also improved. We expect to see a drop-in paper fails, diagnostic issues, and installation priority problems once automated assessment and diagnostic forms are fully implemented.

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

In the past, CSD has had to place Subgrantees on high risk status, and when necessary, remove the Subgrantee temporarily or permanently from the program. CSD monitoring tools have continuously improved, and as a result, CSD is better able to identify and address issues sooner. Significant improvements can be made to enable a return to normal status in some cases. These improvements are due in part to several site visits, consultations and field training.

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

As part of CSD's reimbursement process, Subgrantees continue to upload data into a centralized weatherization repository system monthly. The weatherization project file uploads are subjected to additional validations which improve the overall quality of electronically reported project records from Subgrantees to CSD. CSD continues to design specific reports to identify compliance issues and provide statistical feedback for administrative purposes. In 2021, CSD will launch its new Learning Management System (LMS), which will assist with identifying training non-compliance.

Are there technical and financial systems that have been reviewed?

CSD provides data transfer rules to the two software vendors who offer reporting software at the Subgrantee network's local level. From a review perspective, the systems must incorporate these rules to validate uploaded data successfully. CSD continues to expand and enhance data transfer rules to validate additional programmatic requirements.

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

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During monitoring, Subgrantees are asked to provide backup documentation to support specific line items from their summary expenditure reports. Bid documents and subcontracts are also reviewed particularly when costs do not appear to be appropriate or reasonable. When necessary, an auditor will make an on-site visit to investigate any costs that are deemed inappropriate or inaccurate. Any discrepancies that cannot be explained become a finding and a possible disallowance.

V.7 Health and Safety

Subgrantees will be authorized to mitigate health and safety hazards within the scope of the weatherization program pursuant to the CSD Health & Safety Plan, CSD Policies and Procedures, and CSD TRM. Subgrantees shall correct all safety hazards resulting from weatherization measure installation and relating to heating/cooling sources such as combustion appliances (carbon monoxide, back-drafting, etc.) and indoor air quality (adding mechanical ventilation, adding mechanical ventilation, and installing carbon monoxide alarms). A combustion appliance safety check shall be performed on all dwelling units that contain gas appliances. Clients are informed in writing on the CSD 542 Weatherization Deferral Form of any health and safety issues that are found in the dwelling that cannot be remediated within the parameters of the weatherization program and are referred to other available resources. Other full deferral conditions related to health and safety include a client with a health condition that can be exacerbated by weatherization activities, sewage or sanitation problems, severe moisture issues, and extensive lead-based paint deterioration. The full deferral policy can be found in the TRM, Section 11.3 Deferral and Referral Policy (Attachment T).

As required by contract, Subgrantees are to refer clients to the local Housing and Community Development Department, U.S. Farmers Home Administration Housing Loan Program or other similar organizations or programs when the dwelling unit is ineligible because of the need for extensive repair.

Subgrantees are required to establish a written appeal process to enable clients who are denied any services the right to appeal the decision or performance of the Subgrantee. Subgrantees are required to make a good faith effort to resolve each appeal. If the appeal is denied, the client may request a Fair Hearing with CSD.

The average expenditure for health and safety hazard mitigation is 21.55% of program operations. California's older housing stock requires a larger investment of health and safety measures to resolve carbon monoxide hazards and other health and safety concerns as required by California's state and local building codes. Over the last several years, CSD has deferred more of the health and safety services to its LIHEAP emergency heating and cooling program. Anticipating that health and safety services remain constant, CSD expects that the DOE grant will assume its share of health and safety costs consistent with expenditures levels. Additionally, although several Subgrantees leverage their DOE WAP program with utility weatherization programs, the narrowly defined standards of these programs limit the replacement of combustion appliances to owner-occupied units only. Another contributing factor is the temperate climate zones in some parts of the state where the investment in standard weatherization measures is proportionately lower; however, health and safety services remain constant.

Health and safety costs will be tracked on a separate line item in the budget and the expenditure reports and will not be included in the average cost per dwelling. The rate calculations are included in the CSD Weatherization Health and Safety Plan (Attachment I).

Details related to lead safe weatherization and ASHRAE requirements are also found in the CSD Weatherization Health and Safety Plan (Attachment I).

V.8 Program Management

V.8.1 Overview and Organization

CSD is one of several departments under the auspices of the California Health and Human Services Agency (CHHSA). CSD has been serving low-income communities for over 50 years. CSD has traditionally partnered with a network of private, non-profit and local government organizations, dedicated to reducing poverty by helping low-income individuals and families achieve and maintain self-sufficiency, meet their home energy needs, and reduce their utility costs through energy efficiency upgrades and access to clean renewable energy.

CSD administers the following federal programs intended to reduce poverty and improve the lives of low-income Californians:

- U.S. Department of Energy Weatherization Assistance Program (DOE)
- U.S. Department of Health & Human Services Low-Income Home Energy Assistance Program (LIHEAP)
- U.S. Department of Treasury Coronavirus Aid, Relief, and Economic Security (CARES) Act
- U.S. Department of Health & Human Services Community Services Block Grant

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Additionally, California's Low-Income Weatherization Program (LIWP) is the only program of its kind in California that provides low-income households with integrated solar photovoltaic (PV) systems and energy efficiency upgrades at no cost to residents. The program reduces greenhouse gas emissions and household energy costs by saving energy and generating clean renewable power. LIWP currently operates three program components: Multi-Family Energy Efficiency & Renewables, a Community Solar pilot, and the Single Family Energy Efficiency & Solar PV Farmworker Housing component.

The weatherization programs within CSD consists of a team approach using Program Analysts, Field Representatives, internal QCI staff, the Fiscal and Contracts Units, and the services of third-party consultants for dwelling inspections and training and technical assistance.

CSD subcontracts with a network of Subgrantees that provide DOE and LIHEAP weatherization services. The network is comprised of community action agencies or public or nonprofit entities that have over 45 years of experience in providing public assistance programs to the low-income households in their respective service territories.

For the 2021 DOE WAP grant cycle, local Subgrantees interested in administering 2021 DOE WAP grant funds must complete a brief application outlining the Subgrantee's specific contract allocation request and plans for ensuring the successful expenditure of the contract allocation within the 12-month contract term. Upon submission of all applications CSD will allocate available funding after a review of past performance and capacity.

CSD will continue to administer the DOE program through its Subgrantee network. When CSD determines that an organization is not administering the program satisfactorily, it may take the following action:

- Correction of the problem(s) with training, technical assistance, and/or imposition of special contract conditions; or
- If Subgrantee does not fully expend its allocation by the end of the contract term, the Subgrantee's future allocations may be reduced, including capped budget items; or
- Re-assignment of the service area to an existing Subgrantee; or
- Solicitation or selection of a new or additional Subgrantee in accordance with 10 CFR Section 440.15 provisions.

V.8.2 Administrative Expenditure Limits

CSD will retain one-half (7.5%) of the allowable fifteen percent (15%) administrative funds; Subgrantees will receive the remaining funds (7.5%), per new DOE guidelines. Due to limited funding, Subgrantees allocated \$350,000 or less will not be provided the opportunity to apply to CSD for approval to use up to an additional five percent (5%) of their funding for administration.

V.8.3 Monitoring Activities

Monitoring Approach

CSD conducts on-site inspections and desk reviews to ensure Subgrantees meet the performance goals, administrative standards, financial management requirement, and other requirements of the DOE WAP program and CSD contracts and weatherization standards. In addition to the onsite visits by QA personnel (detailed below under the QA section), Field Representatives will conduct annual program and fiscal monitoring to determine the program and operational effectiveness of Subgrantees through desk reviews and onsite visits. Subgrantees determined to be at a higher risk will receive onsite program monitoring in addition to the onsite monitoring by QA. An annual comprehensive desk review will be conducted on all Subgrantees and the scope will be the equivalent of an onsite visit. To facilitate this process, Subgrantees will be instructed to submit necessary documents and client files for review purposes. Findings based upon unauthorized measure installation, billing discrepancies, client and dwelling ineligibility may result in disallowed costs.

CSD has fifteen (15) full-time staff within three Energy Division units who perform monitoring functions in various capacities: QAI, Field Operations and Weatherization Technical Support. There are also three (3) staff with third-party independence who perform unit inspections. All staff who perform unit inspections are QCI certified as required by DOE WAP. Fourteen percent (14%) of the Grantee T&TA allocation (or 7% of the total T&TA allocation) is dedicated to field monitoring and inspection purposes including travel. These activities are leveraged with LIHEAP.

CSD's monitoring program consists of the following strategies:

Programmatic and Management Monitoring:

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- Subgrantee Review:
 - Monitoring tools are reviewed and updated annually. The tool addresses but is not limited to administrative review, conflict of interest, inventory management, record retention, complaint management and procurement; fiscal review (billing process, line-item reconciliation, expenditure status and benchmarks); and programmatic review (prior monitoring issues, eligibility, client file review, diagnostic testing, reweatherization, SHPO).
 - Field representatives conduct annual comprehensive desk reviews equivalent to an onsite visit. These reviews include but are not limited to, an evaluation of the Subgrantee's expenditure performance, financial evaluation, adherence to budget restrictions, client file reviews, and operational deficiencies. Field representatives will conduct client file review on a minimum of 10% of client files or 10 files whichever is greater. Noted concerns are brought to the attention of the Executive Director and/or Board Chair for resolution that may result in an onsite visit or increased reporting, such as additional comprehensive evaluations. Subgrantees determined to be at a higher risk will receive onsite visit. CSD Quality Assurance Inspectors conduct inspections on a minimum of 10% of completed units. The inspection percentages may be increased when warranted.
 - All contracts, program notices, policies, audit protocols and installation standards are available electronically through the CSD provider website. Installation standards can be downloaded for easy access in the field.
 - There is a separate web-based system that tracks and facilitates approval of work to be performed on homes who meet the SHPO criteria.
- Financial/Administrative:
 - Accounting systems and weatherization reporting software are noted in the Subgrantee working files. A consolidated list is maintained of the software used for reporting weatherization activities and expenditures.
 - Program notices have been issued for procurement, capped budgetary line items, program income and contract Implementation options (in-house crews vs. subcontractors) as guidelines for Subgrantees to meet OMB and contract requirements.
 - Monthly and quarterly reviews are conducted to track expending of capped line items and other program requirements including inspections. CSD reviews for disproportionate spending to other activities or the proper number of inspections has not been completed annually during close-out procedures as part of a final inspection process. Subgrantees are required to submit proof of liability insurance before contract execution.

Eligibility:

- CSD issues an annual eligibility guide that outlines eligibility criteria, income verification, energy cost verification and appeal processes. An intake form (automated and/or hard copy) is completed by Subgrantees that includes all the necessary requirements to qualify clients.
- Client data maintained in CSD's repository includes client demographics, household income and energy costs for federal reporting and monitoring purposes.
- Costs are disallowed for any work performed for ineligible clients.
- Eligibility is a key component when a special investigation has been designated.

Rental:

- By contract, rental service agreements signed by occupants and property owners include language protecting occupants from rent increases because of the weatherization services provided.
- For large multi-unit projects, CSD staff evaluates whether any undue enhancement might occur in the value of the dwelling units and confirms that the benefits of weatherization accrue primarily to the residents.
- CSD Inspectors give special attention to inappropriate or unnecessary enhancements for any rental files and/or dwellings inspected. If there are reports of improprieties, the inspectors would do the follow-up investigation and address remedial action with the Subgrantee as deemed appropriate.

Energy Audits:

- CSD has established audit protocols for single family and multi-family dwellings.
- For new auditors, all electronic audit files and supporting pictures are required to be submitted to CSD for review and approval before work commence. Experienced auditors (Tier 2) are required to submit all audits for random review. Although photos are not required from Tier 2 auditors, CSD reserves the right to request photos at any time. Audits are rejected when anomalies are found and Subgrantees are asked to correct and resubmit. Any serious misuse of audits can lead to disallowances and high-risk designation.
- For large multi-family building projects where the TREAT audit software is used, CSD and CSD's technical consultant review the projects before forwarding to DOE for approval.
- As part of the application process for 2021, CSD informed Subgrantees of the mandatory energy audit protocols required by DOE approved on October 8, 2020. Auditors are required to take bridge and/or refresher REM Design training(s).

Field Work:

- CSD contracts contain an extensive list of required documentation to be maintained in each client file.
- CSD contracts require that completed units can only be billed after they have been inspected. CSD staff review monthly activity reports to confirm that inspections have been performed. Per CSD's data transfer rules, Subgrantees must report if any measure is to be billed to DOE. Entering Subprogram Code "DOE" code triggers a business rule that ensures inspections are billed.

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- Inspections are required to be performed by a Certified Quality Control Inspector and are confirmed through client file review. Quality Control Inspector certificates are required to be on file at CSD.
- All Subgrantees are required to use a standardized inspection form that includes the inspector's name and signature, inspection date and time, and client's signature.
- Subgrantees are required to correct any deficient work identified by their internal inspectors before the work is submitted for reimbursement. Because of CSD inspections, Subgrantees with incomplete work and workmanship issues are asked to rectify the problem before disallowances are levied. Subgrantees will be asked to reverse or repay costs that are determined to be unallowable. If questioned costs are significant, an investigation may be performed, and inspection percentages may increase.
- When necessary, communication between the Subgrantee and client may be overseen or initiated by CSD staff to help resolve the complaint. If not resolved, the client is made aware of the appeal and fair hearing processes.
- Policy changes are derived from input from the Subgrantee network, CSD staff, CSD's technical consultant and Federal partners.

Health & Safety:

- CSD's Health & Safety Plan is incorporated into the contract by reference and training is readily available to Subgrantees through CSD's Local Agency Portal.
- Subgrantees are required to maintain, and have available for review, all training records and certifications. CSD technical staff maintains a list of certified firms, renovators, OSHA, contractors licensing and completion of required training. Copies of certificates are required to be submitted to CSD.
- Field monitoring guidelines include the quarterly verification of the Injury and Illness Prevention Plans (IIPP), Respirator Programs and Safety Data Sheets (SDS) binders.

Equipment/Inventory/Materials:

- Subgrantees are required to have inventory policy and procedures that include processes to ensure adequate safeguards to prevent loss, damage and theft and proper accounting. Records are to be maintained of all equipment purchased with Federal grant funds and utilization and continued need for the equipment.
- Subgrantees are required to have a written procurement policy in place that follows OMB requirements, demonstrates a competitive bid process is conducted when applicable, and that purchases over \$5,000 receive CSD and DOE approval prior to purchase.
- Subgrantees are required to have a written conflict of interest policy in place to prevent and deter any occurrence of organizational conflicts of interest or noncompetitive practices that may restrict or eliminate fair competitive advantage or otherwise restrain trade.
- Subgrantees are required to follow the vehicle and equipment disposition policies set forth in WPN 17-6: Property Acquired Under the Weatherization Assistance Program Including Vehicle and Equipment Purchases.

Quality Assurance:

- During annual monitoring, Field Representatives conduct client file reviews for inclusion of all required documentation including eligibility, completeness of forms, and adherence to other contract requirements.
- Minimally twice a year quality assurance of Subgrantees' field work is conducted by third-party inspectors, all of whom are QCI certified. Consolidated pass/fail inspection rates are maintained by CSD staff. Programmatic findings and resolution to findings are maintained for tracking purposes as well as identification of trends. CSD conducts on-site monitoring of the third-party inspectors. CSD QAI reviews all third-party QCI inspection reports each month for compliance and to monitor third-party QCI inspection performance, including review and approval of invoices from third-party QCI.
- Currently, there is a statewide travel ban due to COVID-19 for State Agencies. Due to this travel ban, CSD is unable to perform on-site monitoring of third-party inspectors. In order to perform monitoring of third-party inspectors, CSD Quality Assurance Inspection Unit will be instituting remote ride-a-long inspections of third-party inspectors utilizing video conferencing software. Once the state travel ban is lifted, CSD will resume on-site ride-a-long inspections.
- CSD has developed a Quality Work Plan in accordance with WPN 15-4 Quality Work Plan Requirement. Refer to Attachment K WPN 15-4 Quality Work Plan Requirements.

Training & Technical Assistance:

- Through monitoring and inspection processes, the need for training may be identified. When the need arises, a referral is made to the technical support unit to arrange for training through the CSD-approved training centers, CSD's technical consultant or CSD internal technical staff. Additionally, Subgrantees can initiate training themselves by submitting a request to the technical support unit.
- CSD contract has specific training requirements that must be met within certain time frames for Subgrantee staff to continue working within the program. Training records for the required online, classroom and field training are maintained by the Subgrantee and CSD. CSD's new Learning Management System (LMS) will be launched in 2021.

Feedback and Reporting:

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- CSD holds quarterly meetings with the Subgrantee network. A subcommittee comprised of a representative group of Subgrantees generally meets once a month to discuss policy development for all CSD-administered energy programs.
- Subgrantees are required to submit monthly activities and expenditure reports. CSD Staff review the reports and contact Subgrantees about any anomalies found.
- All findings through monitoring and technical investigations culminate in reports provided to the Subgrantees and their respective Board of Directors. Inspection reports are provided to Subgrantees at the exit interview.

Required Follow-Up Procedures:

- Both Field Representatives and Quality Assurance Inspection teams issue reports following their visits/reviews. Field Representatives submit reports within 30 days of their monitoring. Third-party inspectors issue inspection reports at the completion of inspection visits. All findings are tracked and followed through resolution. Depending upon the severity of the finding, a return visit or review to verify resolution may be necessary and/or the frequency of inspections may increase.

Subgrantee Monitoring

Program Overview (Client File Review, Work Orders, etc.):

- Field Representatives confirm that Subgrantees have the necessary information and forms to administer the weatherization program effectively and meet program requirements.
- Through client file reviews, Field Representatives confirm all documentation is present as required by contract, including but not limited to: eligibility, SHPO reviews, priority list and energy audits, prioritization of services, completed work is documented and justified, and reweatherized dwellings handled appropriately.
- CSD Inspectors review the more technical aspects of the client file including combustion appliance safety testing, blower door, and duct leakage diagnostics. Assessments, work orders, work justification, permits, Home Energy Rating System (HERS) ratings, file notes, and Subgrantee inspections are also reviewed.

Financial/Administration:

- The fiscal and performance review conducted by Field Representatives ensures that the Subgrantee is on track with their expenditures, and performance and benchmarks: this includes validating claims submitted for reimbursement, line-item reconciliation, verification of the Subgrantee's billing process, and verification of internal controls, and verification of procurement procedures.

Inventory:

- Field Representatives ensure that Subgrantees have written inventory policy and procedures in place, review Subgrantees' tracking procedures, and review vehicle tracking logs.
- A third-party inspector reviews equipment and calibration tracking logs.

Energy Audits:

- Technical Support Unit and CSD's third-party technical consultant are responsible for evaluating the integrity of the energy audits for all dwelling types.
- Field Representatives and CSD Quality Assurance Inspectors review files for inclusion of the Priority List Checklist and energy audit reports. CSD Quality Assurance Inspectors verify the application of the priority list and energy audit.

Qualifications & Training:

- Field Representatives and Technical Support staff follow up with Subgrantees when required training has not been taken, training discrepancies are found or Subgrantee staff is found to be working in areas they are not qualified to perform.
- The Technical Support Unit will verify any training referred by Field Representatives and CSD Quality Assurance Inspectors was completed.

Weatherization of Units:

- When CSD Quality Assurance Inspectors find work that needs to be addressed, an evaluation will take place to determine and document why it was not identified through the Subgrantee's own inspection process and if any trends are present. Subgrantee Inspectors, crews and field supervisors may be referred for additional training or have disallowances levied.

Health & Safety:

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- The implementation and continual application of health & safety guidelines are monitored through the quality assurance inspection and field monitoring processes which includes client file reviews and client and Subgrantee staff interviews. Deficiencies are reported and must be addressed.
- Field Representatives and CSD Quality Assurance Inspectors review client files for the resolution of identified health and safety issues, required client education, and RRP documentation. A finding is issued and Subgrantees are required to resolve any issue left unresolved.
- CSD inspections currently include questions related to the application of lead-safe practices, the applied use of LSW during weatherization services and renovator records.

Final Inspections:

- CSD third-party inspectors and/or CSD Quality Assurance Inspectors will conduct inspections to monitor feasibility of weatherization measures, quality of workmanship, material standards, review of client files, proper application of the DOE Priority List, energy audit protocols and installation standards. Inspections are conducted at a rate of a minimum of 10% of all completed units for each Subgrantee, CSD Inspectors use a standardized form to record measures installed and billed, feasibility, and workmanship. This process ensures dwelling units reported to DOE have had all weatherization measures installed and a QCI has been completed.
- Any identified trends are discussed with the Subgrantee and training may be recommended.

Required Follow-Up Procedures:

- Both Field Representatives and the Quality Assurance Inspection team issue reports following their visits. All findings are tracked and followed through resolution.

Corrective Action Plan:

Once CSD Monitoring Reports are finalized, Subgrantees have 30 days to provide CSD with a Corrective Action Plan (CAP) for all Findings identified in the report. The following items must be included within their CAP:

- Detail the action(s) that will be taken to resolve the finding(s);
- Describe the internal control mechanism that will prevent and detect the issue(s) of noncompliance from future occurrence; and
- The implementation date of the CAP, which is to be no later than 90 calendar days from the date of the finalized report.

The CAP is reviewed to ensure Subgrantees have addressed all aspects and once confirmed, the monitoring report is closed. Follow-up is then conducted during the next monitoring cycle to determine if they are indeed following their CAP and if the issue can be considered fully resolved.

Financial Monitoring

Financial Management/Accounting Systems and Operations:

- Field Representatives review accounting operations by tracing a sampling of expenditures from source documentation through payment including bank statements.
- Enhanced monitoring and investigative audit visits will be conducted, as needed, to evaluate Subgrantees' accounting systems and fiscal integrity.
- Special investigations may be conducted by the CSD Technical Support Unit if deemed necessary.
- Field Representatives determine if internal controls are present with written policies in place. Audit staff will also review separation of duties and internal controls as part of their fiscal audit.

Audits:

- Auditors perform annual reviews of Subgrantees' OMB A-133 audits for compliance with OMB requirements, follow up on findings identified in the Single Audit, and issue transmittal letters to Subgrantees that include findings.
- Investigative audits will be conducted, as needed, to evaluate Subgrantees' accounting systems and fiscal integrity.

Payroll/Personnel:

- Annual monitoring by Field Representatives may include reviews of payroll records, timesheets, and organizational charts. During onsite visits, Subgrantee staff is interviewed to determine job responsibilities, work performed under CSD programs and any reporting irregularities.
- Testing of payroll records may be reviewed by Auditors dependent upon their audit work scope.

Vehicles and Equipment:

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- Field Representatives determine if vehicles and equipment are properly tracked and maintained, are currently being utilized, costs are shared between programs (if applicable), and disposition.
- Testing of vehicle records may be reviewed by Auditors dependent upon their audit work scope.

Procurement:

- Field Representatives review Subgrantees' written procurement policies and procedures to verify that the policies have been followed, a competitive bid process is in place, items are cost allocated appropriately between different programs (if applicable), and that OMB requirements are being met.
- Testing of procurement processes may be reviewed by auditors dependent upon their audit work scope.

Invoicing:

- Field Representatives verify the Subgrantee's billing process from intake through inspection for accuracy, review submittal of budget line items (on-site and desk reviews), test reasonableness and conformity of billed measures and trace costs to the general ledger.
- The Technical Support Unit may conduct special investigations in this area when deemed necessary.
- Testing of invoices may be reviewed by Auditors dependent upon their audit work scope.

Records Retention:

- Subgrantees are required to retain records for a minimum of three years after the close of the audit review and resolution of any findings or disallowances. Data related to the weatherization of dwellings is uploaded and maintained in CSD's central repository. CSD Field Representatives confirm Subgrantees' retention policies are following these requirements.

Required Follow-Up Procedures:

- Both Field Representatives and Quality Assurance Inspection team issue reports following their visits and/or in-house reviews. All findings are tracked and followed through resolution. Depending upon the severity of the finding, a return visit or follow-up review to verify resolution may be necessary.
- CSD's Audit Unit issues an Audit Transmittal Report after a desk review of audit reports submitted by Subgrantees. Reports are issued as a result of any standard or investigative audit. Disallowances identified through these processes that are not repaid to the department could delay execution of subsequent contracts.

Expanded Monitoring Scope – Automation:

- CSD required all Subgrantees to convert to fully automated data systems at the local level since the current reporting software originally provided by CSD has been abandoned. Subgrantees have the discretion of choosing the electronic solution that best fits their needs and meets the state's reporting requirements.
- CSD currently requires Subgrantees to transfer electronic client file data to CSD in a central depository monthly. It is currently limited to client information, demographics and measure installation and related costs. The data can be accessed and evaluated for programmatic inconsistencies. For the current program year, Subgrantees will continue to enter summary level data for reimbursement purposes into CSD's web-based reporting system based upon reports generated from their databases.

Monitoring Reports

Monitoring reports are provided to the Subgrantee in the following manner:

- Dwelling inspection reports are provided during exit conferences. If it is determined that training and technical assistance is necessary to resolve any workmanship and/or paper work issues, the Subgrantee shall be referred to the third-party Technical Consultant or CSD Technical Support staff.
- Subgrantees are briefed on observations and potential findings generated by the monitoring visit and/or in-house review, usually through an exit conference. Within 30 days after each visit and/or in-house review, the State will prepare a draft written report on its findings and/or observations; and send it to the Subgrantee to review. CSD addresses any findings, observations, and/or recommendations a Subgrantee may contest and/or need clarification on. After CSD finalizes the written report it is provided to the Subgrantee. If corrective action is applicable Subgrantees must submit a corrective action plan.

Monitoring Schedule

The monitoring season for Field Representatives typically runs from March through the end of October. CSD monitors all Subgrantees annually through on-site visits or comprehensive desk reviews. Subgrantees with programmatic concerns or at high-risk may receive a comprehensive desk review and an onsite visit. Ten client files or 10% of client files, whichever is greater, are reviewed by field staff.

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Frequency of inspection visits by CSD and third-party inspectors are dependent upon each Subgrantee's level of production. CSD has projected that at a minimum, a range of 10% of dwellings will be inspected for the upcoming program year for each Subgrantee. All Subgrantees will be visited at least once by CSD Quality Assurance Inspectors but several will need multiple visits to meet quotas for all energy programs. The same inspection criteria (excluding QCI certification) are applicable to the LIHEAP weatherization.

Recordkeeping

All records maintained by Subgrantees must meet the OMB Super Circular requirements contained in 2 CFR Chapter 1, and Chapter II, Parts 200, 215, 220, 225, and 230, "Uniform Administrative Requirements for Cost Principles, and Audit Requirements for Federal Awards." Subgrantees are required to maintain all records pertaining to this program for a minimum period of three years after submission of the close-out report. Subgrantees must maintain all applicable records until resolution of all related audit and monitoring findings are completed. Addresses and installed measures of all completed units are required to be submitted to CSD. Employee and applicant records are required to be maintained in a confidential manner to assure compliance with the Information Practices Act of 1977, as amended, and the Federal Privacy Act of 1974, as amended.

Noncompliance

If it has been determined that a Subgrantee cannot fulfill their contractual obligations, steps may be implemented to redistribute any remaining allocated funds to other Subgrantees. These funds will be redistributed to the nearest Subgrantee, if feasible, to provide services in the same general geographical area. For designated high-risk Subgrantees, an independent financial audit may be performed.

Termination Procedures

CSD may commence suspension or terminations proceedings based on non-performance or material breach of Subgrantee contract. CSD may impose sanctions as provided in 2 CFR 200.338 which may include temporarily withholding cash payments, disallowing payment, suspending or terminating the federal award, recommending suspension or debarment proceedings, withholding further federal awards or taking other remedies that may be legally available.

Should it become necessary to terminate any Subgrantee, or select new ones, the regulations governing such actions, i.e. sections Code of Federal Regulations sections 440.15 (c) and (d), will be followed. Should termination of a Subgrantee during the current grant cycle become necessary, CSD will redistribute the allocations and/or unexpended balances to Subgrantees operating efficient programs to ensure that the services continue in the areas served by the Subgrantee being terminated.

V.8.4 Training and Technical Assistance Approach and Activities

Overview

One of the goals of program monitoring and report and records evaluation is to assess the need for training. CSD QA Inspectors conduct inspections throughout the program year. CSD field representatives will conduct desk reviews and report evaluations on an ongoing basis in accordance with Section V.7.3 Monitoring Activities. Problems that qualify to be resolved through training and technical assistance will be addressed by the Field Representatives and/or other CSD staff, outside consultants, and occasionally by staff brought in from other Subgrantees.

For a full description of CSD's training and technical assistance activities refer to Attachment R: 2021 DOE WAP Training and Technical Assistance Plan.

Percent of overall trainings

Comprehensive Trainings: 60.0

Specific Trainings: 40.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings: 38.0

Percent of budget allocated to Crew/Installer trainings: 52.0

Percent of budget allocated to Management/Financial trainings: 10.0

V.9 Energy Crisis and Disaster Plan

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STATE PLAN/MASTER FILE WORKSHEET

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The purpose of California's Department of Energy (DOE) disaster planning and relief is to provide emergency services to low-income individuals and families affected by a disaster as determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. DOE WAP has a very limited role in any disaster response. Funds are limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

To the extent that services are in support of eligible weatherization (or permissible re-weatherization) work for eligible households, such expenditure is allowable. Allowable expenditures include:

- The cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective.
- The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials.
- The cost to perform functions related to protecting the DOE investment such as: weatherization materials, tools, equipment, weatherization vehicles, or protection of local Subgrantee weatherization files, records and the like during the initial phase of the disaster response.
- The cost to use weatherization vehicles and/or equipment to help assist in the disaster relief provided DOE is reimbursed per 2 CFR 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

The use of DOE funds for relief efforts is limited by the following:

- The total allowance for relief efforts is limited to a maximum allowance of \$7,776 per dwelling unit.
- The total allowance for incidental repairs in support of the installation of weatherization materials is limited to the current maximum reimbursement for limited home repairs per Subgrantee contract.
- The total allowance for the installation of each weatherization measure is limited to the current maximum reimbursement per Subgrantee contract.
- The cost to pay for weatherization personnel to perform relief work in the community because of a disaster is not allowable.

Prioritization of weatherization requests within disaster include:

- Disaster relief services are only available to qualified low-income households directly affected by the declared disaster. DOE requires that priority be given to identifying and providing weatherization services to the elderly, disabled, families with children, high residential energy users and households with high energy burdens.
- It is permissible, however, to consider households located in the disaster area as a priority if the households are eligible and meet one of the priorities above and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.
- In the event of a declared Federal or State disaster, weatherization crews may return to a unit reported as a completion to CSD that has been "damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization". Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to materials is not covered by insurance or other form of compensation.

Prior to initiating disaster relief services, Subgrantees are required to submit a written plan to the CSD for approval outlining the specific services to be provided and the estimated costs necessary to support each type of activity. Activities are required to be reported monthly describing all relief efforts, expenditures and demographics. Approved plans will be in effect for a maximum of six months but could be extended dependent upon the anticipated recovery period and the type of disaster involved.