

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007919		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000		4. Program/Project Start Date 04/01/2021	5. Completion Date 03/31/2022

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	\$ 255,000.00		\$ 5,893,595.00		\$ 6,148,595.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 255,000.00	\$ 0.00	\$ 5,893,595.00	\$ 0.00	\$ 6,148,595.00

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) PROGRAM OPERATIONS	
a. Personnel	\$ 133,189.00	\$ 0.00	\$ 341,928.00	\$ 0.00	\$ 475,117.00
b. Fringe Benefits	\$ 54,064.00	\$ 0.00	\$ 127,185.00	\$ 0.00	\$ 181,249.00
c. Travel	\$ 16,416.00	\$ 0.00	\$ 92,634.00	\$ 0.00	\$ 109,050.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 5,000.00	\$ 0.00	\$ 11,808.00	\$ 0.00	\$ 16,808.00
f. Contract	\$ 0.00	\$ 757,614.00	\$ 0.00	\$ 3,255,266.00	\$ 5,167,416.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 17,038.00	\$ 0.00	\$ 57,864.00	\$ 0.00	\$ 74,902.00
i. Total Direct Charges	\$ 225,707.00	\$ 757,614.00	\$ 631,419.00	\$ 3,255,266.00	\$ 6,024,542.00
j. Indirect Costs	\$ 35,391.00	\$ 0.00	\$ 88,662.00	\$ 0.00	\$ 124,053.00
k. Totals	\$ 261,098.00	\$ 757,614.00	\$ 720,081.00	\$ 3,255,266.00	\$ 6,148,595.00
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		\$ 255,000.00	\$ 0.00	\$ 5,893,595.00	\$ 0.00	\$ 6,148,595.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) HEALTH AND SAFETY	(2) SUBGRANTE E T&TA	(3)	(4)	
a. Personnel	\$ 0.00	\$ 0.00			\$ 475,117.00
b. Fringe Benefits	\$ 0.00	\$ 0.00			\$ 181,249.00
c. Travel	\$ 0.00	\$ 0.00			\$ 109,050.00
d. Equipment	\$ 0.00	\$ 0.00			\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00			\$ 16,808.00
f. Contract	\$ 814,536.00	\$ 340,000.00			\$ 5,167,416.00
g. Construction	\$ 0.00	\$ 0.00			\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00			\$ 74,902.00
i. Total Direct Charges	\$ 814,536.00	\$ 340,000.00			\$ 6,024,542.00
j. Indirect Costs	\$ 0.00	\$ 0.00			\$ 124,053.00
k. Totals	\$ 814,536.00	\$ 340,000.00			\$ 6,148,595.00
7. Program Income	\$ 0.00	\$ 0.00			\$ 0.00

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0007919, State: IA, Program Year: 2021)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
01 Community Opportunities, Inc (Carroll)	\$230,475.00 18
02 Hawkeye Area Community Action Program (Hiawatha)	\$745,733.00 64
03 Community Action of Eastern Iowa (Davenport)	\$471,053.00 40
04 MATURA Action Corporation (Creston)	\$115,100.00 8
05 Mid-Iowa Community Action Agency (Marshalltown)	\$341,506.00 27
06 Mid-Sioux Opportunity, Inc. (Remsen)	\$138,582.00 11
09 Northeast Iowa Community Action Corporation (Decorah)	\$268,612.00 21
11 Operation Threshold (Waterloo)	\$351,161.00 28
12 IMPACT Community Action Partnership (Des Moines)	\$156,133.00 12
13 South Central Iowa Community Action Program (Chariton)	\$108,825.00 8
14 Community Action of Southeast Iowa (Burlington)	\$249,785.00 19
15 Southern Iowa Economic Development (Ottumwa)	\$272,957.00 21
16 Upper Des Moines Opportunity, Inc. (Graettinger)	\$498,087.00 42
17 West Central Community Action (Harlan)	\$354,057.00 28
18 Community Action of Siouxland (Sioux City)	\$239,647.00 19
20 Polk County Board of Supervisors (Des Moines)	\$625,703.00 53
Total:	\$5,167,416.00 419

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)	404
	404
Rewatherized Units	15
	15
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	404

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C Total Units Reweatherized	15
D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	419
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	\$3,255,266.00
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	419
H Average Program Operations Costs per Unit (F divided by G)	\$7,769.13
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$7,769.13

IV.3 Energy Savings

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	419	29.3	12277
Prior Year Estimate	463	29.3	13566
Prior Year Actual	376	29.3	11017
Method used to calculate savings description:			

IV.4 DOE-Funded Leveraging Activities

DCAA does not use DOE funds for leveraging activities.
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IV.5 Policy Advisory Council Members

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

Brown, Anna	Type of organization: Other Contact Name: Phone: 8124849053 Email: abrown20914@yahoo.com
Brown, Kevin	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 7122615555 Email: kevinclaybrown@gmail.com
Busch, Kelly	Type of organization: Unit of Local Government Contact Name: Phone: 6417820038 Email: kbusch@unioncountyiowa.org
Hilpipre, Anna	Type of organization: Other Contact Name: Phone: 6415281149 Email: anna.hilpipre@basf.com
Iowa Commission for the Division of Community Action Agencies	Type of organization: Other Contact Name: Phone: 5152813861 Email: Donna.Bura@iowa.gov
Kumar, Ajit	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Phone: 5152219344 Email: ajitk@a-t-g.com
Murphy, John	Type of organization: Unit of Local Government Contact Name: Phone: 5635139064

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Shipley, Leland	Email: john.murphy@dubuquecounty.us Type of organization: Unit of Local Government Contact Name: Phone: 7127853448 Email: shipley2@myfintc.com
Whisenand, Mary E.	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Phone: 5152058760 Email: Whisenand.Mary@gmail.com

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

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

02/01/2021 Public hearing notice was posted on January 22, 2021 in the Iowa Weatherization website, the Iowa Department of Human Rights Facebook page and Twitter account. Notices were also sent to the Iowa Community Action Association and all sub-grantees along with a copy of the the proposed plan. The notice is attached to the SF-424 The virtual public hearing was held on February 1, 2021.

IV.7 Miscellaneous

ACSI Survey Action Plan:

DCAA ACSI Survey Action Plan is attached to the SF424.

Recipient Business Officer:

William Brand, Division Administrator
Bill.Brand@iowa.gov
515-281-3268

Recipient Principal Investigator:

Gwen Howe, Weatherization Bureau Chief
Gwen.Howe@iowa.gov
515-281-3988

The Commission for the Division of Community Action Agencies serves as the PAC for Iowa WAP. These commission members are appointed by the Governor of Iowa. There is currently two vacant seats on the commission.

1. Three of the commissioners are elected officials. Those individuals have been identified as such in the PAC list.
2. Three of the commissioners represent low-income. Type of Organization is listed as Other in the PAC list.
3. Three of the commissioners represent private business and industry. Type of Organization is listed as For-Profit or Corporate in the PAC list.

The next meeting of the PAC is scheduled for February 25, 2021. Approval of the grant application will be submitted at that time.

The State of Iowa Weatherization Program is delivered by 16 sub-grantees. The numbers associated with each sub-grantee in Section IV.1 represents a unique identifier used at the grantee level for contracting purposes.

DCAA projects an average project cost of \$7,776 for program year 2021. The actual average cost (without Health and Safety) for completions in Iowa is \$10,400 with a portion of that paid by other non-DOE funds. Since those funds are subject to change, not guaranteed, DCAA budgets the maximum average allowed by DOE for each of the sub-grantees. If those other funds are available, then the DOE funded average will be lower and additional homes will be completed using DOE funds.

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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

Households with documented income at or below 200% of poverty or who are eligible for assistance under the Low-Income Home Energy Assistance Program are eligible for weatherization services. In addition, households receiving payments under Title IV and XVI of the Social Security Act in the past 12 months are also eligible for assistance.

The gross income of all household members residing in the household at the time of application shall be counted to determine eligibility. Any individual listed on an approved application for the current fiscal year may not be listed on another application. Verification of income is required of all participants before an application is complete with the exception that income of individuals age 18 and under employed part-time are exempt. The name on the application must match the name on the income documentation. This verification may take the form of pay receipts, payroll checks, or a statement signed by the employer if the salary is paid in cash. Other evidence, such as copies of unemployment checks or Medicaid cards may also be accepted. If an applicant refuses to produce proof of income and does not authorize the agency to verify earnings, the applicant shall not be eligible for program benefits. Verification of income will be provided before eligibility may be certified. An applicant may elect to use the most recent 30 days, the last 12 months, or the most recent calendar year as a qualification period. If an applicant is not eligible under the time period first selected, one of the alternative periods may be selected to qualify. The applicant must be informed of the right to select different qualification periods. In an effort to qualify clients for the LIHEAP program, this process was established by LIHEAP and followed by all sub-grantees to determine eligibility for both LIHEAP and WAP.

Approximately 174,166 households in the state of Iowa are at or below 200% of poverty.

Additional priorities are given to households with elderly, disabled, young children and high energy costs. These are further described in Section V.3.

Describe what household eligibility basis will be used in the Program

The definition of 'low-income' that Iowa uses to determine eligibility for the Iowa Weatherization Program complies with 10 CFR 440.22. Program eligibility is based on total household income at, or below, 200 percent of the poverty level, as established by the Office of Management (OMB), households receiving assistance under the Low-Income home Energy Assistance Program, and households receiving payments under Title IV and XVI of the Social Security Act in the past 12 months. Persons who are eligible for the LIHEAP program are automatically approved for the Weatherization Program. Persons may also apply for Weatherization Program assistance without applying for LIHEAP assistance, however, these persons will still be required to complete the eligibility process used for the LIHEAP program.

Application dates are checked before any weatherization work begins. If the application is more than 12 months old, the household is advised that a new application is needed before weatherization services can be provided. Copies of approved client applications are included in client weatherization files.

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

To ensure the the applicant is a US citizen proof of Social Security Number (SSN) are required for all household members. Those members without proper documentation will not be included as a household member, but the income earned by that person will be included in the total household income.

If the applicant is a temporary foreign national not authorized for employment, verification of a Social Security number may be waived. However, they must present their I-94 card so the Iowa LIHEAP program can record the USCIS number in lieu of the SSN. The USCIS numbers is also known as the alien number (a 9 digit number). The USCIS number might have eight digits, in which case you put a 0 at the front. This applies to all household members in this category, regardless of age.

Copies of such verification must be included in every file. If the applicant household has provided acceptable documentation in the previous year, this requirement is waived. However, if the household has gained a member since their last application, documentation is required. In order to be fair to households with newborns, the requirement for a Social Security Number for that child is waived, as long as the child is 120 days old, or younger, at the time of application. A copy of the birth certificate should be included in the LIHEAP application file.

These are the requirements of the LIHEAP Program in Iowa. They comply with the HHS requirements found at this website:
<http://aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml#sec1>

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V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling unit will be weatherized without documentation that the dwelling unit is an eligible unit, as defined as 10 CFR 440.22. The local sub-grantees verify applicants' income during the application process. Sub-grantees are required to maintain records that include documentation of client eligibility. The local sub-grantees maintain records of previously weatherized dwelling units in a database. The database is checked prior to scheduling a household for service to ensure that the house has not been previously weatherized. If the house has been previously weatherized and is not eligible for re-weatherization, as defined in 10 CFR 440.18, the house will not be weatherized. If the house is eligible for re-weatherization, the sub-grantee makes a determination whether or not to re-weatherize the house based on a number of factors including the energy usage of the house and the number of eligible households on the waiting list.

Dwellings are not eligible for reweatherization if completed in the past 15 years

Property ownership is verified and documented by using the County Assessors websites. Printouts showing ownership of each house are maintained in household files.

All household files will contain the required documentation to show eligibility including: Approved client applications, Landlord agreements (if applicable), SHPO documentation indicating age of house, etc.

Describe Reweatherization compliance

The local sub-grantees maintain records of dwelling units previously weatherized with any source of federal funds. This data contains homes weatherized between 1979 and current year. The data is checked prior to scheduling a household for service to ensure that the house has not been weatherized in the past 15 years. If the house has been previously weatherized and is not eligible for re-weatherization, the house will not be re-weatherized.

Dwellings that were originally weatherized with any source of federal funds between September 30, 1975 and September 30, 2005, are eligible for re-weatherization. If the house is eligible for re-weatherization, the sub-grantee makes a determination whether or not to re-weatherize the house based on a number of factors including the energy usage of the house and the number of eligible households on the waiting list.

If the President or the Governor of the State of Iowa declares a Federal or State Emergency for areas of the state due to a natural disaster, the DCAA will allow local agencies within those affected areas to use existing resources to address the needs of the people in the area. DOE funds will NOT be used to complete the re-weatherization of these homes unless they were originally completed before September 30, 2005. In declared disaster areas, homes weatherized since October 1, 2005 may be eligible for re-weatherization using other sources of funds.

Describe what structures are eligible for weatherization

All eligible households are considered for weatherization services regardless of type of building structure. Client selection for service is based on a point system calculated using an estimate of annual client bill savings for heating, water heating and air conditioning measures. This system is applied by the sub-grantees to all eligible applicants within a county to establish a prioritized waiting list.

Structures without a physical mailing address, such as non-stationary campers or trailers, are not considered as eligible for weatherization.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer.

Dwellings attached to a business (apartments above a business) will be eligible for weatherization if the dwelling can be isolated from the business and it has a separate heating system.

Eligible multi-unit dwellings (5 or more units per building structure) will only be weatherized with approval from the DOE Project Officer. All eligible clients in multi-unit dwellings must be high on the local prioritized waiting list before the structure will be considered for weatherization.

The current SHPO agreement was reviewed for necessary changes in August 2020. No changes were necessary, therefore, it was continued through 2030.

Describe how Rental Units/Multifamily Buildings will be addressed

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Rental dwelling units will not be weatherized without first obtaining the written permission of the owner of the dwelling unit, or the owner's agent. If the landlord or agent refuse to sign the written permission, the unit will be deferred.

Rental units will be served in order of priority as determined by the prioritized client waiting list.

The benefits of services provided to rental units will apply primarily to the tenants residing in the units. In most cases, the tenants will benefit by lowering the monthly heating costs they pay. In cases where the tenant is not directly responsible for heating costs, the tenant will benefit from warmer and safer dwelling after weatherization services have been provided.

When a unit within a multi-unit building (5 or more units) is at the top of the prioritized client waiting list, the sub-grantee will first determine if the building has been determined income-eligible for weatherization by HUD. If it is, it may be completed following all other requirements for weatherization of multi-unit rental dwellings. Weatherization is designed to take place with a whole building as a system approach, so other multi-unit buildings (5 or more units) will be considered if 66% of the residents are income eligible. This allows the entire structure to be weatherized. If the entire multi-unit dwelling is weatherized (i.e. the 'completed home' criteria is met for all the units), all units may be counted as completions.

DCAA does not have an approved audit for multi-unit dwellings (5 or more units) so if this type dwelling comes to the top of the priority waiting list, an outside source will be utilized to provide a DOE-approved energy audit. Required information will be submitted to the DOE Project Officer for approval before weatherization work begins on structures containing 5 or more units.

Smaller multi-unit buildings (2-4 units) which are at the top of the prioritized waiting list will be completed if 66% of the units (50% for duplexes) are income eligible. These will be audited as individual units using the NEAT audit to determine the cost effective measures to be completed.

In the case of a vacant rental dwelling, weatherization assistance may be provided if there is assurance that a low-income household will reside in the dwelling within 180 days of the date the weatherization service was completed.

Sub-grantees will use an agreement, signed by the owner, which states the following:

- The benefits of weatherization assistance shall accrue primarily to low-income tenants
- For 12 months after weatherization work has been completed on a dwelling, the tenants in that dwelling will not be subjected to rent increases because of the increased value of dwelling units due solely to weatherization assistance provided under this part.
- No undue or excessive enhancement shall occur to the value of the dwelling units.

In the event of a dispute between the tenant and the landlord regarding the issues listed above, the sub-grantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the sub-grantee. The use of this agreement will help protect the rights of the tenant.

Sub-grantee contracts include the following provision:

No dwelling unit will be served without prior written approval from the owner or rental agent. The benefits of weatherization assistance shall accrue primarily to the low-income tenants. For a reasonable period of time after weatherization work has been completed on a dwelling, the tenants in that dwelling shall not be subjected to rent increases because of the increased value of the dwelling due solely to weatherization assistance provided under this part. No undue or excessive enhancement shall occur to the value of the dwelling. In the event of a dispute between the tenant and the landlord regarding these issues, the sub-grantee shall attempt to resolve the dispute. If the sub-grantee is not able to resolve the dispute, the tenant shall be referred to legal aid.

Describe the deferral Process

Although a client may be eligible for the Weatherization Program, there are situations or conditions where weatherization services should be deferred (i.e. delayed or postponed). Hopefully, the decision to defer weatherization can be made before work, or any significant work begins on a dwelling. However, there are times when work will have begun on a dwelling before one of the situations or conditions is identified. In those cases, the agency should defer doing any additional work.

Deferring work on a dwelling does not mean the dwelling will never be weatherized. If the situation or condition causing the deferral changes, it may be possible to begin or complete the work. For example, a dwelling shouldn't be weatherized if it has a roof that leaks or will likely leak. However, the dwelling can be weatherized later if the roof is replaced or repaired. Another example is a dwelling undergoing remodeling. The dwelling should not be weatherized while it is being remodeled. However, after the remodeling is completed, the dwelling may be weatherized.

Deferral Notification

When an agency defers work on a dwelling, it must notify the client, and the landlord when appropriate, in writing of the reason using the Deferral Documentation Form. A copy of the notification, with documentation justifying the decision to defer services, must be kept in the house file. Agencies should attempt to identify all

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reasons why work is being deferred on a home and notify the client and/or landlord of all the reasons and what must be done in order for weatherization work to begin.

Following are reasons weatherization services should be deferred. This list is not intended to be all inclusive:

When a client:

- Refuses to sign the "Release of Liability Form".
- Moves or dies while weatherization services are being provided. (Weatherization services may be completed if the majority of work is done prior to the client moving/dying.)
- Is uncooperative including, but not limited to:
 - Refusing to allow the installation of top energy efficiency measures or important health and safety measures.
 - Refusing access to parts of house that prevent the evaluation of the house from being performed or prevents important measures from being installed.
 - Refusing to change behavior that can cause health and safety problems (e.g. refusal to discontinue using excessive number of humidifiers).
- When a client, or other occupant in a dwelling:
 - Is threatening or physically or verbally abusive.
 - Has known health conditions which prohibit the installation of insulation or other materials.
 - Is involved in illegal activities.

When a dwelling:

- Is posted as being "For Sale" or is known to be for sale (except homes currently in a housing rehabilitation program).
- Has an cumulative SIR of <1.3
- Is scheduled for demolition or in an area slated for development.
- Poses a health or safety hazard to crew workers or contractors, for example, rats, bats, roaches, reptiles, insects, animals or other vermin inappropriately or not properly contained on the premises.
- Is undergoing remodeling or has unfinished areas, which directly affect the weatherization process. Weatherization work may be done when the remodeling is completed.
- Is so full of clutter a weatherization audit or weatherization services cannot be done.
- Is beyond the scope of the program due to major structural deficiencies or is in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner. Examples would be dwellings requiring a new roof or foundation repair or where lead exposure cannot be mitigated with safe work practices.
- One or more health and safety hazards exist that must be corrected by the client (or landlord) before weatherization services may begin. Examples include, but are not limited to:
 - Severe mold or moisture problems (such as pooling in the crawlspace or standing water in the basement) so severe they cannot be resolved within program limits.
 - The presence of animal feces or raw sewage that prevents weatherization measures from being installed.
 - The presence of a primary heat source unvented space heater unless the unvented space heater is removed from the dwelling. If the unvented space heater is a secondary heat source it may be left in place if it meets ANSI Z21.11.2 requirements.
 - The presence of disconnected water waste pipes or hazardous electrical wiring.
 - The presence of asbestos, including vermiculite that contains asbestos, that prevents weatherization measures from being installed.
 - When health and safety hazards, including unsafe combustion appliances, could pose a health or safety threat to clients but the weatherization program cannot mitigate the hazards due to expenditure limits or program rule/policy limits.
- When a manufactured home:
 - Has been improperly set. Any installation deficiencies will be repaired by the client or landlord before starting work. Home must be stabilized in accordance with manufacturer specifications or local authority having jurisdiction.
 - Has a fireplace or heating stove drawing combustion air from inside the dwelling.
 - Has a heating system other than a heating system manufactured for mobile homes or a sealed combustion high efficiency furnace with modifications per manufacturer's instructions and installed properly to include outside air for combustion.

Number of and reasons for deferrals will be tracked in the state-wide database. If a sub-grantee is notified that the reason for deferral has been remedied, the sub-grantee will schedule the house for re-evaluation.

V.1.3 Definition of Children

Definition of children (below age): 6

V.1.4 Approach to Tribal Organizations

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☐ 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.

Low-income members of American Indians tribes will receive benefits equivalent to the assistance provided to other low-income persons in the state.

V.2 Selection of Areas to Be Served

The Division of Community Action Agencies (DCAA), within the Department of Human Rights, is designated by the Governor to administer the grant from the U.S. Department of Energy for the Weatherization Program. Local sub-grantees are selected by the DCAA to administer the program in local area throughout the state.

It is the intent of the DCAA, as the state grantee, to only consider and contract with sub-grantees that have the capacity to meet the needs of the local areas they serve. The Code of Federal Regulations, 10 CFR, Part 440, requires states to give preference to Community Action Agencies and other non-profit entities when selecting sub-grantees to administer local weatherization programs.

The basis for selecting the Iowa Weatherization Program's sub-grantees includes consideration of the following:

- The sub-grantee's experience and performance in administering a weatherization program
- The sub-grantee's experience in assisting low-income persons in areas to be served
- The sub-grantee's capacity to operate an effective weatherization program.

In selecting sub-grantees each year, the state gives priority to the sub-grantees that currently administer the program in the local areas because these sub-grantees have the vehicles, equipment, and trained staff needed to deliver the services. They also have extensive experience in delivering weatherization services. However, prior to selecting current sub-grantees to administer the program for the new year, the state reviews the results of sub-grantee monitoring reviews and considers other performance factors in determining whether each current sub-grantee is operating an effective program.

The Iowa Weatherization Program contracts with sixteen (16) sub-grantees to provide weatherization service to clients in all counties of the state. Fifteen (15) sub-grantees are Community Action Agencies. The other sub-grantee is a unit of local government.

Service areas are based largely on the Community Action Agencies' (CAA's) historical geographical boundaries. This enables the CAA's to use their existing outreach structure to inform low-income persons about the program and to take applications. The State of Iowa reserves the right to re-designate weatherization service areas.

The State of Iowa also reserves the right to operate the weatherization program in the service area of a defunded sub-grantee, if, in the opinion of the program administrator, the sub-grantee is not meeting the needs of the clients in that area. In the event a sub-grantee elects to discontinue participation or is subject to defunding of its weatherization program, the state will use an alternate sub-grantee(s) to temporarily provide weatherization service in the service area of that sub-grantee. The alternate sub-grantee(s) would administer the program until a new sub-grantee for that service area is selected by the state through a request for proposal process. If the alternate sub-grantees wish to permanently serve the expanded area, they will be required to submit a simple plan of service to the new area. The purpose of the alternate sub-grantee is to minimize disruption in the delivery of weatherization service in the service area of a current sub-grantee that is defunded or discontinues administering the program. All 16 sub-grantees have requested to be considered alternate sub-grantees. If an alternate sub-grantee were needed, the following considerations would be used in making the selection:

- Capacity of deliver the service
- Quality of work
- Geographical proximity to the service area

V.3 Priorities

Iowa uses the five DOE priority categories. The category High Energy Burden is defined as households eligible for LIHEAP. Therefore, the LIHEAP client list becomes WAP waiting list each year. Clients not eligible for LIHEAP, but who applied for the program are also included in the data received from LIHEAP. Other clients, who did not apply for LIHEAP may make application for weatherization at any time during the year and be placed on the waiting list. Priority for those on the list is given to households with the highest energy usage (greatest potential for savings). Client selection for service is based on a point system based on an estimate of annual client bill savings for heating, water heating, and air conditioning measures. Additional points are given if any household members are elderly, disabled, or young children.

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A household's client point total will be increased by 5 percent for each of the following situations:

- The household is occupied by an elderly person
- The household is occupied by a person with disabilities
- The household is occupied by young children

(A household's priority point total could be increased by 15 percent if each of the situations listed above exists.)

Clients may, at any time, request a recalculation of their priority point total.

Client priority is implemented on a per county basis. Clients will be served in order beginning with those clients with the highest client points, including increases for elderly, disabled, and children. Any waiver from the point system may be made for the following reason only. Clients who are customers of utilities that are co-funding weatherization, or clients who are eligible for other funding sources which can be used in conjunction with regular weatherization program funds to pay for non-energy related health and safety and repair work (e.g. furnace repair/replacement, wiring or roof repair, asbestos abatement, etc.) may be served ahead of clients with higher points, if, by doing so, regular program funds (i.e. DOE or HEAP) can be spread further, thus allowing the sub-grantee to serve more clients.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer. Shelters are excluded from the priority point system.

V.4 Climatic Conditions

The climatic conditions in Iowa range from an average low of 4,879 heating degree days in the southeast portion of the state to a high of 8,309 heating degree days in the north portion of the state using a base of 65° F. The heating degree statewide average is 6,490. The average heating degree-days in each area served by a weatherization project is shown below.

Iowa uses the NEAT/MHEA Audit to determine cost-effective measures to install in eligible dwellings. The NEAT/MHEA Audit considers heating degree-days in its analysis of costs effectiveness. The higher the degree-days, the more costs effective a measure or group of measures may be, if other factors remain constant. Each sub-grantee uses the heating degree-day data provided with the NEAT/MHEA Audit that is most appropriate to its geographical service area.

HDD data is from AccuWeather. The HDD 15-year (2005 - 2020) average for each sub-grantee was calculated by summing the data for county weather site for each sub-grantee area and then calculating the average of that number.

Heating Degree Days - 16 year average

Agency	Low	High	Average
New Opportunities	5585	7394	6562
HACAP	5708	7657	6585
Eastern Iowa	5299	7422	6717
MATURA	5254	7002	6223
MICA	5724	7758	6827
Mid Sioux	5786	7889	6886
Northeast Iowa	6117	8309	7003
Threshold	5827	8060	6930
IMPACT	4823	6843	5934
SCICAP	4987	6659	5908
Southeast Iowa	4879	6668	5643
SIEDA	5167	6853	6102
Upper Des Moines	5735	8021	6937
West Central	5440	6991	6251
Siouxland	5735	7518	6645
Polk County	4823	6843	5934
State Averages			6443

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

The State of Iowa Weatherization Program utilizes several different technical and procedural manuals. They include:

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- The Weatherization Policy and Procedures Manual - last updated 2016 (Copy in the Document Library)
- The Weatherization Standards and Field Guide Manual - last updated 2018 (Copy in the Document Library)
- The Weatherization General Appendix - last updated 2014
- The NEAT Audit Manual - last updated 2018
- The MHEA Audit Manual - last updated 2018
- Various State Program Notices - issued as needed.

The current Weatherization Standards and Field Guide Manual along with Variance Requests were approved by DOE in 2018. There have been no substantial changes since that time.

DCAA is in the process of updating the Standards and Field Guide manual to align with current SWS requirements. The revised single family and manufactured home Standards and Field Guide should be ready for submission to DOE by the end of May 2021.

Sub-grantee contracts include the following language:

By affixing a signature to this contract, the contractor acknowledges receipt of the items listed in this section. The contractor also acknowledges responsibility to perform in a satisfactory manner, as determined by the DCAA, the activities and services authorized by this agreement in accordance with the most current version of these documents:

- Contract,
- Iowa Weatherization Program's Policies and Procedures Manual,
- Iowa Weatherization Work Standards and Field Guide Manual (which reflects SWS requirements),
- Iowa Weatherization General Appendix,
- Weatherization Program Notices,
- DCAA directives, and
- Federal, state, and local laws and regulations

This language assures the grantee that sub-grantees are in receipt of and responsible for all the required work.

Sub-grantee contracts with private contractors are required to contain the following language:

In addition, Contractors must be able to demonstrate, that they are qualified to perform the necessary work described in the Iowa Weatherization Bureau's Weatherization Work Standards (which reflects SWS requirements), and in this Contract and subsequent attachments.

By signing the end of this document, the Contractor agrees to comply with the following:

- Equal Employment Opportunity and Affirmative Action requirements as described in Executive Order 11246
- Copeland "Anti-Kickback" Act (Noncollusion Affidavit Statement) (40 USC 276c and 18 USC 874)
- Federal Fair Labor Standards Act (29 USC Chapter 8)
- Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)
- U.S. Department of Energy's material standards as described in 10 CFR 440, Appendix A
- Iowa Weatherization Program Work Standards and Field Guide (which reflects SWS requirements)
- OSHA Safe Work Practices
- All other related manuals

The Contractor also agrees to comply with all applicable federal, state, and local laws, codes, and ordinances; and all other conditions of provisions set within this agreement. The Contractor is responsible for following state/federal guidelines regarding lead paint notification and reporting.

All these manuals and notices are distributed to sub-grantees and made available to sub-grantees and state staff on-line.

Other items made available on-line to sub-grantees include:

- Annual sub-grantee contracts
- SHPO requirements
- Lead safe renovation requirements
- Licensing requirements for professionals (HVAC, electricians, plumbers, etc.)
- All forms required for client files
- Templates for contracting labor and materials at the sub-grantee level

Compliance with these assure work is being performed in accordance with the NEAT or MHEA energy audit and that materials meet all requirements set down in Appendix A.

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The Iowa Weatherization Program also utilizes a software packages for ASHRAE 62.2 2016 calculations. REDCalc is from Residential Energy Dynamics.

Other manuals available to grantee and sub-grantee staff include instructions on use of the Weatherization Automated Management System (WAMS). This system is used at the sub-grantee level to track and report clients, work in process and completed work. It is used at the grantee level to review client completions, demographics of clients and financial reports.

All weatherization measures completed comply with Section 2.8 of WPN 21-1. Any measures that fall outside that list will be submitted for NEPA review before completing.

Field guide types approval dates

Single-Family: 8/20/2018
Manufactured Housing: 8/20/2018
Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: NEAT
Approval Date: 5/31/2018

Audit Procedure: Manufactured Housing
Audit Name: MHEA
Approval Date: 5/31/2018

Audit Procedure: Multi-Family
Audit Name: No Audit/Priority List for this building type
Approval Date:

Comments

The NEAT/MHEA Audit is used to determine the most cost-effective measures to install. An audit is performed on every single-family dwelling/unit that is weatherized. Energy costs used in the audit are updated annually. Six (6) weather-data locations are used in the audit. Each agency uses the weather data from the location nearest to its service area.

Iowa currently uses NEAT/MHEA version 8.9 by April 1, 2022, all sub-grantees will be transitioned to NEAT/MHEA version 10.

Multi-Unit Dwellings (dwellings containing 5 or more units):

Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. In PY2020 there were no multi-unit dwellings weatherized. If a multi-unit dwelling is at the top of the prioritized waiting list, an outside contractor will be utilized to perform a DOE approved audit on the structure. Multi-unit projects will be submitted to the DOE Project Officer prior to weatherization as specified in WPN 19-4 Section 1.

V.5.3 Final Inspection

The sub-grantee final inspection must be completed by a certified Quality Control Inspector (QCI). Sub-grantees are required to maintain proof of staff QCI certification. This must be made available to grantee staff upon request and will be checked against the on-line list at the BPI web-site.

If the sub-grantee does not have a QCI on staff, it will arrange to utilize certified staff from neighboring agencies or contract with a private QCI. Sub-grantee staff will continue to work toward QCI certification as needed.

Before reporting a unit as complete, each sub-grantee is required to conduct a final inspection using criteria that align with the quality specifications outlined in Section 1 of WPN 15-4 to ensure the following:

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- Ensure the initial energy audit was adequate in identifying measures to be completed on the home. This includes identifying opportunities for saving energy that were missed in the initial energy audit.
- Complete health and safety diagnostics.
- Ensure the work called for by the energy audit and the NEAT/MHEA Audit was done, including both health and safety and energy efficiency work.
- Ensure the work performed is in accordance with the Iowa Weatherization Program Policies and Procedures Manual and Work Standards, and the NEAT/MHEA Audit recommended measures.
- Ensure the materials used, other than for health and safety, repair, and/or utility funded measures, meet or exceed Federal specifications as described in the most current version of 10 CFR 440, Appendix A, "Standards for Weatherization Materials."
- Ensure all materials were installed according to the National Uniform Building Code, International Residential Code, local building codes, and the Iowa Weatherization Program Work Standards (reflecting SWS requirements).
- Ensure the work is complete and is of high quality.
- Ensure the materials charged to the home were applied to or installed in the home.

Sub-grantees must sign each final inspection form certifying that the factors listed above were met. The final inspection forms must be filed in the client (house) file. Compliance with this requirement is checked during administrative monitoring visits. Sub-grantees may not report dwellings as complete until a final inspection of the unit has been performed. Grantee technical monitoring reports must also be filed in the client (house) file.

If grantee monitoring of a sub-grantee shows consistent poor quality work, the sub-grantee will be required to complete additional training in weak areas and will be subject to additional grantee monitoring. Results of monitoring will be analyzed for individual QCI patterns. If patterns are found, additional units inspected by those QCI may be monitored by the Grantee. Sub-grantees may be required to submit a Corrective Work Plan with a time-line for meeting requirements. This will be monitored monthly for progress. Failure to make needed program improvements may result in the grantee inspecting up to 100% of a sub-grantee's production until work quality improves. Funding may also be suspended until proper remedies have taken place.

Grantee QCI monitoring will include on-site house file review, review of measures installed, diagnostic testing, visual inspection of work completed, etc. Copies of grantee monitoring tools are included with the SF-424.

All manuals and notices are distributed to sub-grantees via email, hard copy and made available to sub-grantees and state staff on-line.

Sub-grantee contracts include the following language:

By affixing a signature to this contract, the contractor acknowledges receipt of the items listed in this section. The contractor also acknowledges responsibility to perform in a satisfactory manner, as determined by the DCAA, the activities and services authorized by this agreement in accordance with the most current version of these documents:

- Contract,
- Iowa Weatherization Program's Policies and Procedures Manual,
- Iowa Weatherization Work Standards Manual (which reflects SWS requirements),
- Iowa Weatherization General Appendix,
- Weatherization Program Notices,
- DCAA directives, and
- Federal, state, and local laws and regulations

This language assures the grantee that sub-grantees are in receipt of and responsible for all the required work.

Sub-grantee contracts with private contractors are required to contain the following language:

In addition, Contractors must be able to demonstrate, that they are qualified to perform the necessary work described in the Iowa Weatherization Bureau's Weatherization Work Standards (which reflects SWS requirements), and in this Contract and subsequent attachments.

By signing the end of this document, the Contractor agrees to comply with the following:

- Equal Employment Opportunity and Affirmative Action requirements as described in Executive Order 11246
- Copeland "Anti-Kickback" Act (Noncollusion Affidavit Statement) (40 USC 276c and 18 USC 874)
- Federal Fair Labor Standards Act (29 USC Chapter 8)
- Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)
- U.S. Department of Energy's material standards as described in 10 CFR 440, Appendix A
- Iowa Weatherization Program Work Standards (which reflects SWS requirements)
- OSHA Safe Work Practices
- All other related manuals

The Contractor also agrees to comply with all applicable federal, state, and local laws, codes, and ordinances; and all other conditions of provisions set within this agreement. The Contractor is responsible for following state/federal guidelines regarding lead paint notification and reporting.

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DCAA Policy for Sub-grantee QCI:

DCAA will use the DOE-prescribed QCI Policy as described below.

Independent Auditor/QCI: For those sub-grantees with only one staff person, they will be allowed to serve as both Energy Auditor and QCI. The Auditor/QCI is not involved in any of the actual work on the home. In those cases, the grantee will monitor a minimum of 10% of the reported completed homes in order to ensure quality work.

Independent QCI: For the sub-grantee has more than one staff person conducting audits and inspections, the duties must be separated between staff. The QCI must be totally independent of all other job functions. The grantee will monitor a minimum of 5% of reported completed homes at these sub-grantees.

V.6 Weatherization Analysis of Effectiveness

DCAA, in conjunction with investor owned utilities, conducts and publishes an annual evaluation of the Iowa Weatherization Program. This sub-grantee specific evaluation includes: energy savings, costs per completion (by measure and overall), energy savings assigned to individual measures, rate of measure installation in completed homes, and other data used to evaluate sub-grantees. Energy savings between sub-grantees are not usually compared to each other to determine effectiveness because the wide range of housing types available in the state. Poorer housing stock in the southern part of the state has a greater potential for energy savings than that of northern Iowa where homes are better insulated.

DCAA also conducts a performance review of each sub-grantee to assess each sub-grantee's needs, strengths, and weaknesses. The performance assessment consists of the following:

- A review of each sub-grantee's fiscal, administrative and program monitoring result
- A monthly review of each sub-grantee's financial and data submissions
 - Measure costs are reviewed on all completions
 - Anomalies are reviewed and explained by the sub-grantee
- A review of each sub-grantee's annual production
- An analysis of each sub-grantee's annual energy savings
- A review of each sub-grantee's attendance at training sessions and state meetings

The performance assessment is used to determine technical assistance and training needs. If a weakness is evident at multiple sub-grantees, DCAA will arrange for training for all sub-grantees. If only one sub-grantee demonstrates a specific weakness, DCAA will work one-on-one with that sub-grantee to correct the issues. DCAA will continue to monitor progress of sub-grantees to ensure improvement in all areas.

DCAA utilizes a "Risk Assessment" worksheet for each sub-grantee to track performance goals and monitoring results. This assessment tracks sub-grantee financial audits, monthly reports, key personnel, and monitoring results to assign a risk level. Higher risk sub-grantees will be offered additional technical assistance in any areas of weakness. Additional monitoring will also be scheduled to track sub-grantee improvements. DCAA will review all sub-grantee risk assessments to determine if any patterns exist. If recognized, additional training or clarification of policies will be provided.

V.7 Health and Safety

The Health and Safety Plan is Attachment #11 to the SF-424.

DCAA developed the H&S Plan for 2021 utilizing WPN 17-7, WPN 17-7 Table of Issues and WPN 17-7 Attachment A.

The State of Iowa weatherization program does not allow partial weatherization to count as completed homes. All measures called for by the NEAT/MHEA audit must be completed or the unit cannot be counted as a completion.

Iowa uses the language *the most current adopted ASHRAE 62.2*. This language is in all our contracts and policies so we can change to a newer version of ASHRAE as soon as possible without changing all manuals. Currently Iowa is using ASHRAE 62.2-2016.

V.8 Program Management

V.8.1 Overview and Organization

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The Weatherization Program is administered by the Bureau of Weatherization, which is in the Division of Community Action Agencies (DCAA), a division in the Department of Human Rights (DHR). See attachment to the SF424 for the organization structure of DCAA. The other bureaus in the DCAA are the Bureau of Energy Assistance, which administers the state's LIHEAP Program and the Bureau of Community Services, which administers the state's Community Services Block Grant. The local sub-grantees that administer the LIHEAP Program and CSBG at the local level are, with one exception, the same sub-grantees that administer the Weatherization Program at the local level. This allows the three bureaus to coordinate various activities and share information involving the sub-grantees. For example, all three programs use one client application form.

The State of Iowa Weatherization Program utilizes several different technical and procedural manuals. They include:

- The Weatherization Policy and Procedures Manual
- The Weatherization Standards and Field Guide Manual
- The Weatherization General Appendix
- The NEAT Audit Manual
- The MHEA Audit Manual
- Various State Program Notices - issued as needed.

The SEP and HUD programs are not administered by DCAA. SEP is administered by Economic Development. HUD is administered by the Iowa Finance Authority.

V.8.2 Administrative Expenditure Limits

In accordance with 10 CFR 440.18(d), not more than 15 percent of the DOE grant will be used by the state and the sub-grantees for administration of the DOE funds. Also, not more than 7.5 percent of the grant will be used by the state for administration of DOE funds.

The State Energy Efficiency Programs Improvement Act of 1990 permits grantees the option of providing sub-grantees who receive grants of less than \$350,000 up to an additional 5 percent administrative funds. Every sub-grantee has the same core team of administrative personnel and expenses. In order for every sub-grantee to meet the cost of the core administrative functions, each of the eligible 10 sub-grantees will receive up to 5% additional administrative funds in order to properly administer the program.

V.8.3 Monitoring Activities

Iowa Weatherization monitoring staff include two (2 DOE FTE) technical monitors, one full-time and one part-time (1.05 DOE FTE) administrative monitors and one and a half (.5 DOE FTE) fiscal monitors. All DOE FTE are paid with T&TA funds. One fiscal monitor is not paid directly with DOE funds. The balance of the part-time administrative monitor is paid with non-DOE funds. DOE funds will be used to cover a portion of the required monitoring trips (costs can be found in the budget section of the plan). Approximately 34% of T&TA will be used to complete required monitoring. If needed, other non-DOE funds will also be utilized to meet monitoring requirements.

Certificates or training for monitors:

- Technical monitors have the OSHA 30 hour training for Construction Industry, Lead Renovator or Inspector certificate. Technical monitors are also QCI and HHE Certified. They have attended various industry courses such as training on Manual J, building codes, and will receive continuing education as required to maintain certification.
- Administrative monitors have received training on Iowa Weatherization Policies and Procedures and technical requirements, purchasing guidelines, and OMB Circular and 2 CFR part 200 training.
- Financial monitors have training in accounting and auditing, OMB Circulars requirements, 2 CFR part 200 requirements and Iowa Weatherization Policies and Procedures.

Monitoring is done to evaluate sub-grantee programmatic and fiscal compliance and accountability of installation of weatherization with respect to program rules, regulations, policies and procedures and to ensure quality work with respect to the measures in dwellings. Technical assistance is provided to sub-grantees as an integral part of monitoring. The technical monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized. Special emphasis is placed on problem areas noted in previous monitoring reviews or recently implemented program requirements. All agencies are, at a minimum, monitored annually. Additional visits are scheduled as necessary to track on-going issues.

When problems are noted, state staff attempt to make recommendations on how to correct the problem. State staff discuss the problem areas directly with the weatherization staff or fiscal staff and/or the sub-grantee director, and give their recommendations for improvement. The monitors conduct an entrance interview, upon request, and an exit interview with agency staff and the agency director or designee.

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If a sub-grantee has continuing major issues identified by technical, administrative or fiscal monitoring, it may be determined to be "at-risk". In that case, the sub-grantee would be notified in writing of that status and be required to submit, for state approval, a Corrective Action Plan outlining identified issues and steps to be taken to rectify the problems. A part of this plan would identify a time frame for all corrective actions to be completed. The sub-grantee would also be required to submit, at a minimum, monthly updates on the progress of meeting the details of the Corrective Action Plan. Any at-risk sub-grantee would be subject to additional monitoring until all identified issues are eliminated. Sub-grantee staff may be required to take additional technical training or be provided one-on-one training by grantee technical staff.

Major findings are tracked to final resolution. The tracking record includes findings, recommended corrective actions, deliverables, due dates, action taken, and final resolution.

A tentative schedule for all monitoring visits is attached to the SF-424 (see Attachment #10).

Technical Quality Assurance Monitoring

Technical monitoring of completed houses is conducted for all sub-grantees during the program year. Inspections will be completed on at least 5 percent (10% for sub-grantees where the auditor and QCI are the same person) of the houses completed. Currently all 16 agencies have at least one QCI on staff. Technical monitors will also complete reviews on "in-process" units to ensure the accuracy and quality of the initial audit.

The technical monitors conduct a final inspection of each completed unit using criteria that align with the quality specifications outlined in Section 1 of this WPN 15-4 which includes a review of the quality of the sub-grantees' evaluations and inspections as well as the quality of the work that was completed on the house. Each house inspected will be reviewed for compliance with the following:

- Iowa Weatherization Program Standards for completion - meet SWS requirements
- Quality of work
- Missed energy saving opportunities
- Quality of materials
- Appropriateness and allowability of measures installed
- Review of work to ensure no undue enhancements to rental properties
- Client health and safety
- Client satisfaction
- Quality of the final QCI inspection
- Documentation
- NEAT/MHEA Audit results will be monitored to ensure correct use of the audit

Monitoring reports are completed on each house and sent to the sub-grantee within 30 work days of the date of the inspection. If the report requires corrective work by the sub-grantee, the corrective work must be completed within 45 days of receiving the report. The sub-grantee must send a written response to the DCAA documenting that all the corrective work was completed, or reasons why it could not be completed. If serious quality of work problems are found, the state may inspect up to 100% of a sub-grantee's production until work quality improves. Funding to the sub-grantee may also be suspended until proper remedies have taken place.

The technical monitors offer the sub-grantees the opportunity to send their staff on some of the housing inspection trips.

Feedback from the monitors about general problem areas is used to develop additional training.

Monitoring of Administrative Operations

The monitoring of administrative operations is performed using both on-site and in-house reviews. Limited focused administrative monitoring may also be conducted. Comprehensive monitoring will be conducted at each sub-grantee at least annually. Administrative monitoring tools are attachments 6 & 7 to the SF424.

Monitoring of administrative operations will include, at a minimum, the following:

- Review of client/house and contractor files to ensure compliance with documentation of eligibility and other requirements
- Review of client/house files to ensure units are inspected prior to reported as complete
- Review of client/house files to ensure a completed inspection report is present
- Review of NEAT Audit reports
- Review of required health and safety documentation
- Review of contracts to ensure compliance with requirements
- Review of contractor insurance coverage
- Review of sub-grantee weatherization procurement procedures
- Determination of compliance with client priority and client service by county
- Review of timeliness and accuracy of monthly fiscal and data reports
- Review of equipment and inventory
- Review of the procedures for rental properties
- A minimum of 5% of files will be reviewed
- Review of general management and administrative practices

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- Review of employee/contractor credentials, training certificates and licensing to assure compliance with requirements.

State monitoring staff will conduct an exit interview with the sub-grantee to discuss observations and findings from the on-site review. Written monitoring reports will be sent to the sub-grantee within 30 work days of the review being completed. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the program monitoring report requires a response, the sub-grantee must respond, in writing, to the DCAA within 45 days of receiving the report. A sub-grantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer describing the problems at the agency. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from sub-grantee monitoring will be tracked by the state to final resolution.

Monitoring of Financial Operations

Each monitoring review will be performed using both in-house and on-site reviews. In-house fiscal monitoring consists of reviewing sub-grantees' monthly fiscal reports and their most recent annual financial audits. On-site financial monitoring consists of reviewing fiscal operations for compliance with rules and procedures. Each agency is monitored annually. Fiscal monitoring will include, at a minimum, the following:

- Review the financial procedures manual
- Review of procurement procedures
- Review cost allocation plans
- Review the checking account procedures
- Review the use of indirect cost pools
- Verify cash on hand with that reported on financial report
- Verify insurance coverage including liability
- Review and verify a sample of voucher payments
- Review bank statements and journal entries
- Review administrative charges
- Review internal control procedures
- Review of equipment and inventory
- A minimum of 5% of files will be reviewed
- All Sub-grantee Single Financial Audits are reviewed by fiscal staff

State monitoring staff will conduct an exit interview with the sub-grantee to discuss observations and findings from the on-site review. Written fiscal monitoring reports will be sent to the sub-grantee within 30 work days of the review. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the fiscal monitoring report requires a response, the sub-grantee must respond, in writing, to the DCAA within 45 days of receiving the report.

In-House Monitoring

DCAA reviews monthly financial and data reports from the sub-grantees to review measures installed, check for unusual charges and other data. DCAA also checks that the sub-grantees are on schedule to spend their funds.

Sub-grantee Assessment

DCAA will review the results of each sub-grantees' monitoring reports annually to assess each sub-grantee's needs, strengths, and weaknesses. A part of the review process will include a method to track findings and issues from previous monitoring. The assessment will be used to determine future training and technical assistance needs for particular sub-grantees or for all sub-grantees.

A sub-grantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from sub-grantee monitoring will be tracked by the state to final resolution.

V.8.4 Training and Technical Assistance Approach and Activities

DCAA believes training and technical assistance play a major role in developing and maintaining a quality weatherization program. Due to the evolutionary and complex nature of residential energy efficiency and the turnover in sub-grantee staff and contractors, training and technical assistance must be provided on an on-going basis.

DCAA uses a variety of approaches in providing training and technical assistance to the sub-grantees. Meetings are held to discuss administrative, fiscal, program, and technical issues. Technical training is provided at formal training sessions and on-site. State staff attend the sub-grantee program manager and fiscal officer meetings to discuss program, technical, and fiscal issues. State staff provide technical assistance during on-site monitoring and house inspections. All of these approaches have proven to be effective in providing training and technical assistance to the sub-grantees.

Individual sub-grantee training needs identified by performance monitoring will be met by either one-to-one training or small group sessions targeting those weak areas. These sessions will either by in-house training staff or by bringing in outside trainers to meet the needs of the sub-grantees.

Training needs, including those necessary to comply with the health and safety plan, will be met with a combination of DOE and other non-DOE funds.

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DCAA remains pro-active in industry-wide initiatives, often moving to adopt new initiatives before required.

Training and Technical Assistance Needs Assessment

The following methods are used to assess sub-grantee technical assistance and training needs:

- Sub-grantees are asked to identify statewide and individual sub-grantee technical and administrative training needs during the annual monitoring visits or group meetings.
- In-house and on-site program and fiscal monitoring of the sub-grantees is used to identify administrative, programmatic, and fiscal technical assistance and training needs.
- On-site inspections of completed homes are used to identify technical training needs.
- Monitoring the productivity of sub-grantees is used to identify agency specific technical or programmatic technical assistance needs.
- Annual evaluations of the Iowa Weatherization Program are used to identify technical training needs.

Overall Training

The training of sub-grantees is done through sub-grantee-specific training and also through regional or statewide training sessions. The state's policy, with respect to technical training, is to be responsible for all training for auditors by either providing the training directly or providing training that is provided by an outside contractor. The Standard Work Specifications will be incorporated into the training provided to sub-grantee auditors and inspectors. The state believes this practice best assures the standardization of weatherization procedures and practices throughout the state.

Sub-grantees will be allocated DOE T&TA funds to attend various weatherization related conferences and meetings. The funds will be used for registration, travel, meals and lodging to attend. The T&TA funds may also be used to pay for testing fees for those sub-grantee staff attempting to obtain HEP certifications. The state also provides sub-grantees with non-DOE funds that can be used for crew/contractor training and to obtain other weatherization-related training. These funds will also be used to provide additional training/testing for QCI certification as needed.

Specific Training

The state does not require certification of sub-grantee auditor or crew workers prior to hire. All crews and contractors are required to have training in lead paint safe work practices. All auditors/inspectors are required to have the following Specific (Tier 2) training. Each of these classes will be offered once during 2021 and will be scheduled as enough sub-grantee staff express a need. Occasionally the required training is provided one-on-one if needed. More classes will also be scheduled if needed.

- Basic Evaluator
- NEAT and MHEA Audit,
- Mold/Moisture/Ventilation/ASHRAE 62.2
- Advanced Blower Door/Zonal Pressure Diagnostics
- Furnace/Combustion Health & Safety

Other, as needed trainings, will be specific to monitor-identified weak areas at sub-grantees. These could include administrative training for sub-grantee office staff, training sub-grantees to use the database properly, working with sub-grantee auditors to sharpen the testing skills required for weatherization. DCAA also provides one-on-one sessions for sub-grantee staff preparing to complete the field test for QCI certification.

DCAA plans to provide other training necessary for certified QCI staff to obtain required CEUs. This will help ensure field staff are maintaining required credentials.

Sub-grantee staff who do not attend DCAA mandated training when offered, must schedule on-site training within 30 days with grantee staff to demonstrate proficiency in the specific work detail.

DCAA will conduct a information training/meeting for all sub-grantee program directors, auditors and inspectors to go over program changes including health and safety, standards/field guide and policies.

Comprehensive Training

DCAA will provide sub-grantees with T&TA funds to obtain either QCI and/or Energy Auditor training for currently certified staff. Most sub-grantee certified staff need to recertify in the next year and the T&TA will provide refresher courses and/or testing opportunities. Any remaining allocated T&TA funds may be used by sub-grantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences.

Workers in each of the four comprehensive training categories will receive training on a rotating basis. DCAA anticipates scheduling QCI and Energy Auditor training every five years. This schedule will be subject to change based on the needs of the sub-grantee network.

By definition Comprehensive (Tier 1) Training must be administered by, or in cooperation with, a training program that is accredited by a DOE-approved accreditation organization for the JTA being taught. In order to meet this requirement, sub-grantees will work with IREC accredited WAP training centers provide the training.

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Technical Assistance

Technical assistance is provided to sub-grantees during on-site visits, at state meetings, at sub-grantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins. Technical assistance is also provided throughout the year by all state weatherization staff through phone calls and emails from local agencies. The state office also uses a weatherization website as a way of providing technical assistance to the local agencies. In addition to containing statewide program information and materials, the website also contains examples of local agency internal management tools that other agencies may want to use. Monitoring reports and risk assessment from 2020 reviews will be used to determine if any sub-grantee specific training is required.

DCAA staff are currently working on updating the Iowa Weatherization Standards and Field Guide to align with the revised SWS requirements. The revision should be ready to submit to DOE for approval by the end of May 2021.

DCAA staff will also be working with sub-grantees to transition the current energy audit (WA 8.9) to the newest release of WA 10.

- Technical staff will review the curriculum materials as soon as available.
- Beginning June 1, 2021, technical staff will work with some select sub-grantees to test and explore the new NEAT/MHEA audits. This will allow technical staff to provide feedback on the training curriculum.
- Technical staff will attend one of the "train-the-trainer" events when offered.
- Following the training event, technical staff will provide training to all sub-grantees on new procedures. The sub-grantee training will continue as additional questions arise.
- All sub-grantees will be fully transitioned to WA 10. by April 1, 2021.

Sub-grantee Productivity and Energy Savings

The state collects and monitors sub-grantee productivity on a monthly basis. Concerns about productivity with specific sub-grantees are discussed with those sub-grantees. The state conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each sub-grantee. Results of the productivity monitoring and the energy savings analysis are used to determine sub-grantee-specific training and technical assistance needs.

Effectiveness of State T&TA Activities

The effectiveness of T&TA activities is determined through feedback on technical training, discussions with program and fiscal monitoring staff, discussions with house inspectors, and feedback from sub-grantees during on-site visits and state meetings.

Client Education

Sub-grantees will provide client education when they go to clients' homes. Energy education will be done by sub-grantees during home audits and inspection. Crews/contractors also provide some client education if the opportunity presents itself.

QWP Implementation

Iowa Weatherization has incorporated the SWS requirements into the Iowa Weatherization Standards and Field Guide.

Sub-grantees which do not have a certified inspector on staff, will be required to negotiate with other sub-grantees to use their certified QCI. For sub-grantees without sufficient staff to separate the duties of auditor and inspector, DCAA will inspect a minimum of 10% of DOE completions.

Percent of overall trainings

Comprehensive Trainings:	57.0
Specific Trainings:	43.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	57.0
Percent of budget allocated to Crew/Installer trainings:	2.0
Percent of budget allocated to Management/Financial trainings:	41.0

V.9 Energy Crisis and Disaster Plan

When an area of the State of Iowa has been declared a disaster by either the Governor of the State or the President, only non-DOE funds may be used to provide disaster relief for weatherization clients. In those cases the following disaster relief plan will be implemented.

In order for a dwelling to be eligible for assistance under this disaster relief plan, it:

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- Must be occupied by an eligible household.
- Must be located in a county that has been designated by the Governor or by the President as being a disaster area.
- Must be a habitable structure.
- Was an in-progress unit at the time of the disaster where already installed materials were damaged or destroyed by the disaster or was a unit that was previously weatherized by the program. For purposes of this plan, previously weatherized homes may be re-weatherized without regard to the date of the original weatherization. Disaster assistance is only available for a period of one year after the disaster declaration has been made.
- FEMA funds and/or insurance payments, if available, have been applied to the repair of the dwelling, including the repair or replacement of any materials or mechanical equipment that weatherization funds normally cover.

Walk Away

Some disaster-affected dwellings may be beyond the scope of the program due to structural integrity issues, extent of damage, health and safety risks or other reasons described in the Iowa weatherization program's Policy and Procedures Manual. Local agencies may have to walk away from such dwellings or defer assistance until the problems/issues have been addressed.

Priority Service

Disaster-damaged homes meeting the criteria listed above may be given priority over other eligible dwellings at the discretion of the local agency.

Eligible Activities

All dwellings must have an energy audit performed (NEAT Audit for single family dwellings) to determine which of the following activities are needed.

- Limited clean-up in those areas of the dwelling where weatherization and/or health and safety materials will be installed. Costs for this activity must be entered in the NEAT Audit and included in the NEAT Audit's savings to investment calculation. Clean-up activity will only be allowed if the audit's cumulative savings to investment ratio is 1.0 or greater. Allowable clean-up costs will be charged as Incidental Repairs.
- Removal of previously installed weatherization and/or health and safety materials that are damaged beyond repair, and will be replaced as part of the current activity.
- Installation of weatherization materials called for by the energy audit or allowed by the Iowa Weatherization Program.
- Repair or replacement of mechanical systems and appliances, including but not limited to, heating plants, water heaters, and refrigerators.

Work Quality

All work must be completed according to the Iowa Weatherization Program's Work Standards, as well as building, mechanical or other relevant codes. No unit will be counted as complete until all materials are installed in a quality manner and have passed a final inspection by local agency staff.

Coordination with Other Funds

It is expected that weatherization activities will be coordinated with other funded activities to the maximum extent practicable. This will not only help make the most prudent and non-duplicative use of all funds, but will also help to ensure that service to eligible households will be maximized. However, weatherization funds will not be used to supplant other funds such as FEMA and insurance dollars, which must be applied first in renovating disaster-damaged dwellings.

Costs

Since the work completed in cases of disaster is funded with non-DOE dollars, the ACPU does not apply.

Tracking/Reporting

Flood-damaged dwellings that are re-weatherized will be reported as completions. Disaster-related completions and expenses will be tracked and reported as disaster-related completions in the Iowa Weatherization Program's reporting system.