

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007917		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Illinois 500 E. Monroe St. Springfield, IL 627010000	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	\$ 10,000,000.00		\$ 16,511,511.00		\$ 26,511,511.00
2.						
3.						
4.						
5. TOTAL		\$ 10,000,000.00	\$ 0.00	\$ 16,511,511.00	\$ 0.00	\$ 26,511,511.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) SUBGRANTEE T&TA	(4) GRANTEE T&TA	
a. Personnel	\$ 320,624.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 320,624.00
b. Fringe Benefits	\$ 309,094.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 309,094.00
c. Travel	\$ 30,000.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 30,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 0.00	\$ 1,672,918.00	\$ 1,779,117.00	\$ 1,955,235.00	\$ 24,973,148.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 626,015.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 626,015.00
i. Total Direct Charges	\$ 1,285,733.00	\$ 1,672,918.00	\$ 1,779,117.00	\$ 1,955,235.00	\$ 26,258,881.00
j. Indirect Costs	\$ 252,630.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 252,630.00
k. Totals	\$ 1,538,363.00	\$ 1,672,918.00	\$ 1,779,117.00	\$ 1,955,235.00	\$ 26,511,511.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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3. Name and Address State of Illinois 500 E. Monroe St. Springfield, IL 627010000	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.						
2.						
3.						
4.						
5. TOTAL		\$ 10,000,000.00	\$ 0.00	\$ 16,511,511.00	\$ 0.00	\$ 26,511,511.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) LIABILITY INSURANCE	(3) FINANCIAL AUDITS	(4) HEALTH AND SAFETY	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 320,624.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 309,094.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 30,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 16,501,149.00	\$ 170,000.00	\$ 90,000.00	\$ 2,804,729.00	\$ 24,973,148.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 626,015.00
i. Total Direct Charges	\$ 16,501,149.00	\$ 170,000.00	\$ 90,000.00	\$ 2,804,729.00	\$ 26,258,881.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 252,630.00
k. Totals	\$ 16,501,149.00	\$ 170,000.00	\$ 90,000.00	\$ 2,804,729.00	\$ 26,511,511.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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

(Grant Number: EE0007917, State: IL, Program Year: 2021)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
BCMW Community Services Inc (Centralia)	\$243,253.00 23
CEFS Economic Opportunity Corp (Effingham)	\$427,614.00 41
Champaign Co Regional Planning Commission (Urbana)	\$400,139.00 38
Community & Economic Development Association of (Chicago)	\$11,133,914.00 1,186
Community Action Partnership of Central Illinois (Lincoln)	\$230,965.00 22
Community Action Project Of Lake County (Round Lake Beach)	\$649,885.00 62
Community Contacts Inc (Elgin)	\$742,455.00 71
Crosswalk CAA (West Frankfort)	\$348,798.00 33
Decatur-Macon County Opportunities Corp (Decatur)	\$212,719.00 20
DuPage County Dept of Human Resources (Wheaton)	\$722,980.00 69
East Central Illinois CAA (Danville)	\$293,360.00 28
Embarras River Basin Agency Inc (Greenup)	\$516,763.00 49
Fulton County Health Department (Canton)	\$89,963.00 9
Illinois Valley Economic Development Corp (Gillespie)	\$216,093.00 21
Kankakee County Community Services Inc (Kankakee)	\$207,349.00 20
Kendall-Grundy Community Action (Yorkville)	\$143,739.00 14
Madison County Community Development (Edwardsville)	\$418,689.00 40
McHenry County Housing Authority (Woodstock)	\$258,597.00 25
MCS Community Services (Jacksonville)	\$151,643.00 14
Northwestern Illinois CAA (Freeport)	\$160,504.00 15
Peoria Citizens Committee for Economic Opportunity Inc (Peoria)	\$335,468.00 32
Project NOW (Rock Island)	\$385,992.00 37
Rockford Human Services Department (Rockford)	\$628,867.00 60
Sangamon County Dept of Community Resources (Springfield)	\$321,935.00 31

(Grant Number: EE0007917, State: IL, Program Year: 2021)

IV.2 WAP Production Schedule

Weatherization Plans	Units
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Average Unit Costs, Units subject to DOE Project Rules

A Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
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E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D) \$0.00

F Total Funds for Program Operations	\$16,501,149.00
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IV.3 Energy Savings

Page 2 / 5

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

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Prior Year Estimate	2433	N/A	41604 *
Prior Year Actual	867	N/A	0 *
* Energy Savings values were manually entered.			
Method used to calculate savings description:			
<p>The methodology used to estimate the amount of energy savings is based on extensive energy savings studies Illinois has conducted. Based on this methodology (utility bills run through PRISM analysis and adjusted for weather) the actual production will be multiplied by the 17.1 MBTU average savings per home to determine the total energy savings.</p>			

IV.4 DOE-Funded Leveraging Activities

n/a

IV.5 Policy Advisory Council Members

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

Ameren Illinois	Type of organization: Utility Contact Name: Melanie Brown Phone: 2174248327 Email: MBrown10@ameren.com
Citizens Utility Board	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Sara Moskowitz Phone: 3122634282127 Email: smoskowitz@citizensutilityboard.org
City of Chicago	Type of organization: Unit of Local Government Contact Name: Elizabeth Berendsen Phone: 3127467116 Email: Elizabeth.Berendsen@cityofchicago.org
City of Chicago	Type of organization: Unit of Local Government Contact Name: Lorrie Walls Phone: 3127468217 Email: Lorrie.Walls@cityofchicago.org
City of Chicago	Type of organization: Unit of Local Government Contact Name: Ranjani Prabhakar Phone: 3127446906 Email: Niranjani.Prabhakar@cityofchicago.org
ComEd	Type of organization: Utility Contact Name: Jason Decker Phone: 6306843172 Email: Jason.Decker@comed.com
Illinois Commerce Commission	Type of organization: Unit of State Government Contact Name: Ms. Joan Howard Phone: 2177822024 Email: joan.howard@illinois.gov
Illinois Community Action Association	Type of organization: Non-profit (not a financial institution) Contact Name: Dalitso Sulamoyo Phone: 2173283313 Email: dsulamoyo@ccrpe.org
Illinois Competitive Energy Association	Type of organization: Non-profit (not a financial institution) Contact Name: Kevin Wright Phone: 2177415217 Email: wright2192@sbcglobal.net
Illinois Department of Commerce & Economic Opportunity	Type of organization: Unit of State Government Contact Name: David Wortman Phone: 2175584200

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

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Illinois Department of Human Services	Email: David.Wortman@illinois.gov Type of organization: Unit of State Government Contact Name: Terri Vaniter Phone: 2177859873 Email: terri.vaniter@illinois.gov
Illinois Industrial Energy Consumers	Type of organization: Non-profit (not a financial institution) Contact Name: Mr. Ryan Robertson Phone: 6188768500 Email: rrobertson@lrklaw.com
Illinois Municipal Electric Agency	Type of organization: Non-profit (not a financial institution) Contact Name: Staci Wilson Phone: 2177894632 Email: swilson@imea.org
Illinois Retail Merchants Association	Type of organization: Non-profit (not a financial institution) Contact Name: Mr. Rob Karr Phone: 2175441003 Email: rkarr@irma.org
Nicor Gas	Type of organization: Utility Contact Name: Ellen Rendos Phone: 6303882326 Email: erendos@southernco.com
Peoples's Gas	Type of organization: Utility Contact Name: David B. Baron Phone: 3122404352 Email: DBBaron@integrysgruop.com
South Austin Coalition Community Council	Type of organization: Non-profit (not a financial institution) Contact Name: Wanda Hopkins Phone: 3127431543 Email: wjhoppo4@yahoo.com
Western Illinois Area Agency on Aging	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Barbara Eskildsen Phone: 3097936800 Email: beskildsen@wiaaa.org
Will County Center for Community Concerns	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Kris White Phone: 8157220722 Email: kwhite@wccccc.net

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

04/26/2021 Notice of the Public Hearing was posted on the DCEO website on 4/12/2021. See hearing notice and documentation of posting attached to the SF424.

A virtual public hearing was held on 4/26/21 and no public comments regarding the plan were received. A transcript of the hearing is attached to the SF424.

IV.7 Miscellaneous

Illinois is continuing to address issues and suggestions made from the initial American Customer Satisfaction Index (ACSI) through an action plan to enhance program management and quality improvements at the subgrantee level. The main action DCEO has taken is to try getting grants out to subgrantees in a more timely manner. Starting earlier and fine tuning the GATA/budget process this year will hopefully lead to grants to subgrantees being completed several months earlier than in the previous few years. While we attempted to process grants earlier last year, they were still months later than we prefer. This year the fiscal department has continued to start the process earlier, and, we anticipate the DOE grants to be out to subgrantees in July. Getting the grants out to subgrantees earlier gives the local agencies more of the program year to weatherize homes. DCEO has also extended the HHS and State weatherization grants from June 30th to September 30th, which provides funding for continuing to perform assessments during the beginning of the program year even if DOE grants are not in place. This ability to continue assessments ensures that agencies can keep weatherization staffs employed year round and will increase the number of homes that will be weatherized.

In terms of the DOE State Plan, we put the draft plan out to the network and asked for feedback. This feedback is in addition to comments received from all stakeholders in the Policy Advisory Committee, and the Public Hearing.

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

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Recipient Business Officer

David Wortman
500 E. Monroe
Springfield, IL 62701
217-558-4200
E-mail: david.wortman@illinois.gov

Recipient Principal Investigator

Mick Prince
500 East Monroe
Springfield, IL 62701-1643
217-785-6135
E-mail: mick.prince@illinois.gov

Please note: Illinois is currently conducting an RFP to identify a new provider for the Livingston and McLean Counties service territory. Once the RFP is finalized, it will be submitted to the DOE Project Officer for review and approval. Funding for the Livingston and McLean counties service territory is being administered by Tazwood Community Services on an emergency basis until the RFP is complete.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

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

OCA will determine client eligibility in accordance with 10 CFR 440.22:

OCA will ensure that DOE Weatherization Assistance Program (WAP) funds are provided to a family unit that:

- Contains a member who has received cash payment under Title IV or XVI of the Social Security Act or applicable state or local law during the 12-month period preceding the determination of eligibility for weatherization assistance; or,
- Is eligible for assistance under the Low-Income Home Energy Assistance Program (LIHEAP) and whose income is at or below the poverty level determined in accordance with criteria established by the U.S. Department of Health and Human Services according to the Low-Income Home Energy Assistance Act of 1981, as amended; or
- has income up to 200% of Poverty (per DOE income guidelines) when determining income eligibility for the DOE-administered Weatherization Assistance Program.

Describe what household eligibility basis will be used in the Program

Procedures to determine that units weatherized have eligibility documentation.

Income documentation must be provided by each WAP applicant at the time of application. Prior to services being provided, WAP application documentation will be verified for eligibility and completeness by an individual other than the person taking the application. Files are reviewed for proper documentation and income eligibility by state monitoring staff.

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

Every individual in a household must be included on the application and must be a legal resident of Illinois and either a citizen of the United States or a qualified alien. The definition of qualified alien will conform with the guidance provided by the U.S. Department of Health and Human Services (HHS) under the current Low Income Home Energy Assistance Program (LIHEAP) and can be found in the current Illinois Low Income Home Energy Assistance Program Policy and Procedures Manual. The standards for documenting qualified alien status can similarly be found in this Policy and Procedures Manual.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

The State requires that both household income eligibility and building eligibility are established before any work is done on a building. Building eligibility is confirmed prior to the start of an energy audit. Building owners must provide documentation to confirm ownership of the building to be assisted (such as tax payment receipts, copies of deed, or certain other forms). Procedures for confirming eligibility in buildings with rental units and in certain other types of buildings are described in another section below. More detail on building eligibility can be found in Section V (Determination) and XI (Multi-Family Project Procedures) of the IHWAP Operations Manual.

Describe Reweathering compliance

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Homes that have been previously weatherized will not be eligible for additional weatherization assistance for over 15 years from the program year in which its previous weatherization in accordance with 10 CFR 440.18(e) (2), or those damaged by fire, flood, or Act of God as specified in 10 CFR 440.18 (f) (2) (ii). For example, a home that was weatherized in 2010 will not be eligible for weatherization again until 2026.

Describe what structures are eligible for weatherization

All single family homes, mobile homes, small multifamily buildings, and large multifamily buildings will be considered for weatherization services in Illinois. Other structures eligible for weatherization include single room occupancy (SRO) buildings, group homes, and shelters. Residents of a privately owned or not-for-profit-operated SRO building, group home, or shelter are eligible for weatherization work. Such buildings are to be treated as multifamily buildings with regards to all eligibility, cost limitations, and allowable weatherization work.

Publicly or privately owned not-for-profit shelters operated to provide emergency housing for low income households are excluded from the “66% or greater” rule and individual unit eligibility determination. Allowable total labor and material expenditures are to be calculated using the directions for rental units, shelters and group homes. SRO buildings, group homes and shelters are considered multifamily dwellings; and therefore the landlord must sign a rental agreement.

Non-stationary campers and trailers that do not have a mailing address are not allowed to be weatherized. The use of a post office box for a non-stationary camper or trailer cannot be substituted for a mailing address associated with the real estate.

Describe how Rental Units/Multifamily Buildings will be addressed

The Local Administering Agency will enter and check the income eligibility information for each unit to determine how much may be spent on the building, even when individual tenant applications are not completed.

Single Application Process for Buildings that Have Client Income and Demographic Data – If centralized client data is obtainable from the building owner/landlord, then a single application may be utilized for the entire building. Even when owners/ landlords submit data directly, Local Administering Agencies (Sub grantee) are still required to collect and input income and demographic data on individual household units into WeatherWorks, the statewide database.

Standard Application Process-(Other Regular or Non-Federally Assisted Multifamily Buildings): - For multifamily buildings where the owner/landlord does not have documentation of the current building occupant’s current income and demographic information, the Local Administering Agency must take an IHWAP application for each individual unit in the building. The application will include a utility release with account number for all unit utility accounts.

To qualify for weatherizing the entire building the building must meet the following income eligibility requirements:

# of Units	Eligibility Requirements
5	4 (80%)
6	4 (67%)
7	5 (71%)
8	6 (75%)
9	6 (67%)
10+	multiply by .67, round up.

In cases of two and four-unit buildings, the minimum percentage of eligible units must be 50% to qualify the building for weatherization

Vacant Units - The vacant unit will not receive funding.

Multifamily Spending Limits

Multifamily building weatherization spending limits are the same as single family unit limits times the number of eligible units.

OCA will ensure that no undue or excessive enhancement occurs to dwelling units as a result of weatherization by installing only retrofits with 1.0 or greater SIR.

Rental Procedures

OCA will ensure that as a result of weatherization, rental amounts shall not be raised because of the dwelling unit's increased value, and the benefits of

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

weatherization will accrue primarily to the client and members of the client's family. Client family members will experience increased comfort in the home, a healthier and safer environment, and cost savings. As a result of the cost savings, household members will see an increase in spendable income for other household needs. In cases where the heat is included in the rent, the rent may not increase as quickly due to energy savings of the building.

The state has developed a rental agreement, utilized by all Local Administering Agencies, in which landlords agree to maintain rent at the current level for twelve months following the completion of the weatherization. The landlord also agrees to not evict tenants without cause for twelve months and assures that in the event of the sale of the dwelling within twelve months, the new owner agrees to comply with the terms of the rental agreement. Further, the landlord is advised in the agreement that the tenant will be provided a copy of this agreement by the Local Administering Agency. Tenants who contact the Local Administering Agency or OCA with complaints of violation of this agreement will be referred to Land of Lincoln Legal Assistance Foundation for enforcement assistance under this agreement.

OCA will ensure that no undue or excessive enhancement occurs to dwelling units because of weatherization, by installing only retrofits with 1.0 or greater SIR.

Describe the deferral Process

The decision to defer work in a dwelling or, in extreme cases, provide no weatherization services, is difficult but necessary. This does not mean that weatherization assistance will never be available, but that work must be deferred or postponed until the problems can be resolved. Local Administering Agencies are expected to pursue all reasonable options on behalf of the client and seek outside funding and/or resources if possible.

Deferral conditions may include, but are not limited to:

- The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
- The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that conditions cannot be resolved in a cost-effective manner.
- The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization measures were installed.
- The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- Moisture or site drainage problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
- Where there is evidence of severe mold and moisture (area of mold greater than 10 ft²).
- Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
- The client is uncooperative, abusive, or threatening to the crew, subcontractors, assessors, inspectors, or others who must work on or visit the house.
- The client has an unvented space heater and refuses removal of the unit prior to weatherization services being conducted.
- The extent and condition of lead-based paint in the house would potentially create further health and safety hazards for the client or weatherization workers.
- Illegal activities are being conducted in the dwelling unit.
- Areas cluttered or obstructed to such an extent that workers do not have access to home areas where assessment, weatherization work, or final inspection need to be performed.
- Pest infestation may be cause for deferral, if the pests cannot be removed and pose a health and safety risk to the workers.
- Homes that contain products containing air pollutants, flammable liquids, and other volatile organic compounds that may pose a threat to workers.
- The client refuses installation of any weatherization measures that have been prioritized through the WeatherWorks database, including the implementation of ASHRAE 62.2 in the home.

In some cases, IHWAP funds may be utilized to correct the situation (red-tagged heating system, high CO readings, minor plumbing repair, minor roof repair, etc.). If the problems that caused the deferral have been properly corrected, the home may be eligible for weatherization services. Weatherization clients that feel the deferral policy is incorrect or unfair may appeal the decision through the standard weatherization appeal process. It may be possible to utilize other funding sources to correct the issue that is causing the program deferral. Some Local Administering Agencies may also have access to other funding options or other federal, state, local, or other resources where the client could be referred for the deferral reasons to other agencies/organizations. This Program Year, IHWAP will be asking local agencies to better track the reasons for deferral. WeatherWorks does an insufficient job at tracking the reasons for deferral, we will be broadcasting a Spreadsheet for the agencies to use to better track trends with respect to deferrals.

V.1.3 Definition of Children

Definition of children (below age): 5

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

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.

Low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state unless the applicant has made the recommendation provided in 10 CFR 440.12(b)(5).

V.2 Selection of Areas to Be Served

The State of Illinois will continue its IHWAP program for Illinois Program Year 2022(Federal Program Year 2022) delivering weatherization services through its network of Local Administrating Agencies serving all 102 counties with demonstrated program effectiveness, program operation, and management. Prior to the issuance of any sub grant for WAP-funded weatherization services, evaluations of prior year performance are conducted using the following criteria:

1. Program compliance
2. Management and administration
3. Fiscal compliance
4. Technical and quality control

V.3 Priorities

Definitions

Elderly: Any member of the household 60 years of age or older.

Disability: Household containing a person with a disability per the Americans with Disabilities Act.

Children: Any member of the household 5 years of age or below.

A ranking system will be utilized for determining the priority of homes to be weatherized. Multifamily buildings (five plus units) will not be subject to priority ranking.

IHWAP applications are taken on a first-come, first served basis. Income eligible households with elderly members (60 and over), persons with a disability, or young children (5 years of age or below) will be given priority. Lower priority-ranked, income-eligible households will be served later in the program year if funding is available. It is important that this information be conveyed to the client during the intake process.

Prioritization is by county. IHWAP applications should be prioritized in groups. Some Local Administering Agencies may elect to establish an enrollment period (three weeks, one month, two months, etc.) for their entire service area, take all applications during that time and then prioritize them all at once.

All higher priority households should be weatherized before going to lesser priority households. Scheduling variances (due to location, etc.) within a program year are permissible provided the priority rankings are followed during the program year.

Every household is ranked and assigned a priority by WeatherWorks, the statewide database. All eligible households in multifamily buildings should be ranked with the average score used to determine the building's priority. WeatherWorks automatically calculates the priority points in the following manner:

ELDERLY DISABILITY YOUNG CHILDREN

YES = 2 YES = 2 YES = 1

NOTE: 1 elderly household member = 2 points for household; 2 elderly members = 2 points for household; 1 disabled household member = 2 points for

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

household; 2 disabled household members = 2 points for household; 1 child 5 years or below = 1 point for household; 3 children 5 years or below = 1 point for household.

In the event of a tie, the application date and time will be the tie breaker.

V.4 Climatic Conditions

Climatic information for the state is provided by the U.S. Climatological Survey and energy usage information compiled from state and federal sources. This information indicates that six climatic regions exist within Illinois. The WeatherWorks energy audit utilizes heating degree day data broken out by these six regions named here for the most populous city within each's boundaries and identified by WeatherWorks energy audit with letters A through F:

A Chicago B Rockford C Peoria D Springfield E St. Louis F Evansville

Charts attached to this submittal:

- Climate zone used by WeatherWorks for IHWAP Local Administering Agencies
- Heating degree hours by Illinois region used By WeatherWorks energy audit
- Cooling degree days (used for seasonal cooling load calculations)

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Weatherization improvements include the following:

- Air sealing/infiltration reduction
- Insulation of attic
- Insulation of walls
- Insulation of foundation and floors
- Control of wasted heat
- HVAC and water heater retrofit and repair
- Baseload measures such as replacement lighting, water conservation measures, and replacement refrigerators (no freezers will be installed, and ice makers are not allowed)*.
- Replacement of inefficient windows and doors
- Related health and safety work
- Incidental repairs
- Renewable energy retrofits

*Refrigeration appliances that are replaced must be disposed of according to the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule, 40 CFR 82, May 14, 1993. The party recovering the refrigerant must possess an EPA-approved Section 608 Type II license or an approved universal certification.

All work is performed in accordance to the DOE-approved energy audit procedures and 10 CFR 440 Appendixes, and will follow the WeatherWorks energy audit approved by DOE.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Operationally, the Local Administering Agency enters data on a particular inefficiency in the home, e.g., type of window, dimensions, type of wall surrounding, present condition of source of heat loss, and quantity of material required. WeatherWorks then generates the benefit cost ratio and prints a work order that lists:

- The weatherization measures to be installed in order of cost effectiveness
- Estimated material costs
- Estimated labor costs

Every completed unit will receive a Quality Control Inspection (QCI) Final Inspection to ensure that the weatherization work was completed properly and that all work meets the minimum specifications of the IHWAP Field Standards, Standard Work Specification (SWS), and the IHWAP Program Operations Manual. In addition, OCA will conduct monitoring in the form of Desk Audits to ensure assessment information is correctly entered in WeatherWorks, and Quality Assurance to ensure the Local Agencies processes are ensuring the quality installation of weatherization materials, and that the homes were properly assessed.

Technical Guides and Materials

OCA has developed the IHWAP Operations Manual that sets forth specific guidelines that Local Administering Agencies must follow while administering the program. A revised Operations Manual will be issued in July of 2021. The IHWAP Operations Manual covers administrative procedures, building and household eligibility, building analysis (energy audit) procedures, including health and safety protocols, deferral guidelines, reporting and payment procedures, and procurement and fiscal requirements. This manual is updated annually at the beginning of each program year.

Technical requirements for IHWAP weatherization work in single family and manufactured housing are contained in the IHWAP Weatherization Field Standards Manual, which is currently being revised for Program Year 2021 to ensure alignment with SWS updates. The Standards Manual provides guidance to Sub Grantees and their contractors for the installation of measures and other technical aspects of the program. This manual will be updated as required with SWS updates every three years.

Through the University of Illinois Training Center, OCA will continue to provide Local Administering Agencies with comprehensive field standards and training (see Section V.8.4, below) outlining requirements for work scope development and work quality that will meet or exceed the minimum standards found in the SWS. Local Administering Agencies will also be provided with revised technical requirements for building assessment (energy audits), installation of energy efficiency and health and safety measures and procedures for conducting final inspections in support of the quality work plan. These requirements will be referenced as a requirement of the agreement with Local Administering Agency to provide a mechanism for compliance with the requirement.

All IHWAP Manuals will be updated as necessary.

Communication of Guidelines and Standards

DCEO grant agreements require that all Local Administering Agencies comply with the program requirements and procedures as outlined in IHWAP Program Manuals, procedure letters, technical assistance memoranda, and department directives as stated in field monitoring visit letters.

If a QCI fails to adequately inspect weatherized units per the IHWAP Field Standards/SWS, OCA will provide counseling, or training, and possibly revoke the QCI's signature authority for WAP activities.

If any local administrative agency staff (including but not limited to intake staff, assessor, final inspector, weatherization coordinator, fiscal staff, or Executive Director) displays egregious disregard for program policy or client health and safety, DCEO reserves the right to revoke the signature authority of staff and prohibit participation in IHWAP or other OCA programs upon the first offense. Furthermore, IHWAP will prohibit the local administrative agency salaries from the staff being paid from OCA grants of staff.

DCEO also reserves the right to prohibit IHWAP trainers or any weatherization contractors who display egregious disregard for program policy or client health and safety from participating in the IHWAP or other OCA programs. LAAs should include language in the contracts with contractors to make sure contractors are aware that they could be prohibited from participating in the program if DCEO finds they have egregiously disregarded IHWAP policy.

If IHWAP exercises this right, the local administrative staff, IHWAP trainers, and weatherization contractors will be notified by letter and will be informed of the appeals process.

By signing the DCEO grant agreement, Local Administering Agencies acknowledge receipt of all IHWAP Program Manuals, procedure letters, and technical assistance memoranda. Local Administering Agencies are required to have contractors sign an acknowledgement of receipt of the IHWAP Field Standards and place a copy of the signed receipt of standards form in the contractor's file. The form will outline that the contractor understands that all work performed for IHWAP will be completed in accordance with the IHWAP Field Standards. All IHWAP Manuals and procedure letters are sent to our Local Administering Agencies via email broadcast.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Field guide types approval dates

Single-Family: 7/10/2018
Manufactured Housing: 7/10/2018
Multi-Family: 7/10/2018

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: Other (specify) On July 16, 2019 DOE approved WeatherWorks for single family homes through July 15, 2024.
Approval Date: 7/15/2019

Audit Procedure: Manufactured Housing
Audit Name: Other (specify) On July 16, 2019 DOE approved WeatherWorks for manufactured housing units through July 15, 2024.
Approval Date: 7/15/2019

Audit Procedure: Multi-Family
Audit Name: Other (specify) On July 16, 2019 DOE approved the Targeted Retrofit Energy Analysis Tool (TREAT) software for small and large multifamily housing units through July 15, 2024.. WeatherWorks will still be used for case management.
Approval Date: 7/15/2019

Comments

Single Family Homes/Manufactured Housing

On July 16, 2019, DOE approved WeatherWorks for single family homes and manufactured housing units through July 15, 2024. WeatherWorks also serves as the information management system for IHWAP.

Multifamily Building Energy Audits

In the same July 16, 2019 letter, DOE approved the use of TREAT (Targeted Retrofit Energy Analysis Tool) for energy audits of small and large multifamily buildings through July 15, 2024. OCA will continue to utilize the TREAT software for multifamily projects consisting of five units or more. WeatherWorks will still be used for information management of multifamily weatherization work.

Local Administering Agencies using any of the IHWAP weatherization grants for multifamily projects with five or more units must receive approval from OCA. Approval to proceed with installation of proposed measures will be granted by the Office of Community Assistance when:

1. The Local Administering Agency has completed and documented a multifamily assessment meeting IHWAP requirements and guidelines;
2. Following IHWAP requirements and guidelines, a TREAT-generated energy audit modeling the building's existing energy use and the energy savings of the proposed Energy Conservation Measures (ECMs) that demonstrate a savings to investment ratio of 1.0 or greater. In addition, the whole project savings to investment ratio must be 1.0 or greater; and
3. The Local Administering Agency has submitted supporting documentation including a project description that includes eligibility, income and demographic data by unit, project budget, source(s) of cost assumptions, utility usage, heating, cooling, and appliance data by unit, photographs documenting typical and unusual conditions, engineering reports (when applicable), and a fully completed IHWAP-approved assessment document.

The OCA Operations Manual includes Multifamily Project Procedures in Section XI that prescribes:

1. Assessor's knowledge, skills, and abilities requirements;
2. How to collect assessment data to create the TREAT generated energy model;
3. Use of the TREAT software to generate an IHWAP-approvable energy model; and
4. How to submit a multifamily project for approval by OCA.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Special Materials & Procedures Approvals

Per the procedure allowed by 10 CFR 440.21b and set forth in WPN 19-4 the following materials and audit practices have been approved for use in Illinois' program in addition to those allowed by 10 CFR 440 Appendix A:

Item	Comments
Light Emitting Diode (LED) Lighting	Approved 2/2/16
Phenolic Foam Insulation	Approved 8/15/16
Spray Foam Insulation	Approved 7/16/19
Refrigerators (Energy Star)	Approved 7/16/19
Water Heaters	Approved 7/16/19
Measure Lifetime Changes	Approved 7/16/19

V.5.3 Final Inspection

Every DOE-completed weatherized unit will receive a final inspection by a QCI-certified final inspector. This inspection will ensure that the weatherization work was completed properly, that all measures called for in assessment and work orders have been installed and completed in a workman-like manner, and are in accordance with the priorities determined by the audit procedures, standard work specifications, and Illinois Home Weatherization Assistance Program Field Standards Manual.

The final inspection process includes the following:

- Review of the audit and work scope to determine that the work specified was completed, and that any changes to the work scope were approved in advance and properly documented;
- Verification of the quality and quantity of materials installed;
- Verification that installation standards and work quality is acceptable;
- Blower door test, in units where the test can be safely conducted, to verify final air flow;
- Verification that health and safety tests were conducted and that appropriate mitigation measures were performed;
- Steady-state efficiency test, when necessary;
- Client signatures verifying completion of work;
- Written notification to owners and occupants of any unsafe conditions; and,
- Any additional documentation necessary to explain the outcome of the weatherization project.

Per DOE's QCI policy, OCA adopted a policy of requiring independent final inspections unless the agency cannot field adequate staff. Final Inspectors are individuals who are not involved in the prior work inspected as the energy auditor/assessor or as a member of the crew.

Where program size, budget, or temporary staff shortages at the Local Administering Agency level make independent final inspection impossible, a waiver may be granted but all efforts must be exhausted first. When such a waiver is granted, OCA will require that the Local Administering Agency conduct an internal review of the assessor/final inspectors work and OCA will increase its field monitoring to at least 10% of the Local Administering Agency's weatherization and will conduct targeted desk monitoring of the assessor/final inspector's work to ensure that the assessor/final inspector is able to competently perform both tasks. This waiver must be renewed each program year and approved by OCA.

OCA requires that each client file contains a form that certifies the unit has received a QCI-credentialed final inspection. IHWAP's final inspection form includes certification of adherence to SWS standards. State QCI-credentialed monitors will inspect and document in accordance with DOE requirements.

If a QCI fails to adequately inspect weatherized units per the IHWAP Field Standards/SWS, OCA will provide counseling, or training, and possibly revoke the QCI's signature authority for WAP activities.

In those instances where there may be no QCI-credentialed inspectors on staff, and where no QCI credentialed contractual staff are available for inspections as determined by OCA, no DOE- funded projects will commence until a QCI-credentialed staff becomes available.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

V.6 Weatherization Analysis of Effectiveness

Through analysis of Local Administering Agency monitoring, including field inspection and data analysis collected in the weatherization process and maintained in WeatherWorks, OCA has developed specialized training and technical assistance to improve work quality for the Illinois Program Year 2022 (Federal Year 2021).

OCA continues to work with the Local Administering Agencies to improve air sealing results. Monitoring of homes weatherized includes analyzing success at achieving or exceeding air infiltration target rates. Training efforts with contractors and assessors, job site monitoring of contractors during blower door directed air sealing testing, and field workshops conducted by the staff of the Indoor Climate Research and Training center are provided to assist with improving air sealing results.

OCA also requires local agencies to complete in-progress inspections on 20% of their IHWAP production to comply with WPN 17-7 Health and Safety Guidance. In-progress inspections will provide the contractor with real-time feedback and give local agencies an opportunity to provide hands on training while the work is being inspected. An In-Progress inspection includes a review of OSHA Construction regulations, EPA/Lead Renovator, and IHWAP field standards.

OCA strengthened the monitoring process by requiring a Local Administering Agency's response to monitoring findings or numerous or repetitive observations not only include documentation of correction of work deficiencies, but also the actions taken or planned that will ensure that similar deficiencies will not be repeated in future weatherization work.

OCA continues to guide Local Administering Agencies in the implementation of the revised procurement procedures in accordance with 2 CFR 200 to ensure that IHWAP is open and competitive. In Program Year 2022, OCA reviewed all local administrative agency's procurement processes as part of the programmatic monitoring conducted annually to ensure compliance with 2 CFR 200. OCA monitoring will include review of Local Administering Agency procurement plans, market analysis, and procurement design, and execution of procurement continues to be a substantial portion of OCA's IHWAP training and technical assistance program.

V.7 Health and Safety

The IHWAP Health and Safety Plan for Federal Year 2021 is attached as separate document in the attachments section of the SF-424 of this application.

V.8 Program Management

V.8.1 Overview and Organization

The Governor of the State of Illinois is responsible for the administration of the funds received from the U.S. Department of Energy for the Weatherization Assistance Program. The Department of Commerce and Economic Opportunity (DCEO) has been designated as the administering entity for weatherization services. The Weatherization Assistance Program is located within the Office of Community Assistance (OCA). Weatherization services have been a responsibility of DCEO or a predecessor agency since 1977. In Illinois, the weatherization program is called the Illinois Home Weatherization Assistance Program (IHWAP). The IHWAP provides Illinois' low-income residents with the labor and materials needed to weatherize their homes.

Illinois' use of WAP funding from DOE described in this plan conforms to the rules and regulations issued by DOE for expenditure of WAP funding.

V.8.2 Administrative Expenditure Limits

OCA has determined that an increase in DOE regulations and the addition of Health and Safety activities have increased the administrative workload for the Local Administering Agencies. The transparency policies that resulted with the ARRA funding also produced additional administrative burdens. With the drastic reduction in funding, the diminished resources have placed more duties on the administrative areas of the IHWAP. As a result, the Local Administering Agencies have been confronted with increased administrative costs. For these reasons, OCA is increasing the administrative budget line to 12.5% for all IHWAP Local Administering

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Agencies that receive less than \$350,000. Local agencies that receive \$350,000 or more in DOE funding will be limited to 7.5% administrative funds. Any IHWAP entities that are added later, and are under a funding level of \$350,000, will be considered for additional administrative funding of up to 12.5% in total.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, OCA has the responsibility to perform monitoring and oversight of the program implementation and work performed by all its Local Administering Agencies. Below is a description of our monitoring plan in accordance with WPN 20-4:

1. Local Administering Agency review - Technical Services Unit
2. Program overview - Technical Services Unit
3. Financial/administration - Fiscal Monitoring
4. Eligibility - Technical Services Unit
5. Energy audits- Technical Services Unit
6. Qualifications and training- Technical Services Unit
7. Weatherization of units- Technical Services Unit
8. Training and technical assistance- Technical Services Unit in conjunction with the University of Illinois Training Center
9. Quality management assurance- Technical Services Unit
10. Processing monitoring results to resolution- Technical Services Unit/Fiscal Monitoring
11. Health and safety- Technical Services Unit
12. Inventory - Fiscal Monitoring

Weatherization Grant Monitoring Functions of OCA Units

Monitoring visits are made by different units within OCA and cover different subject matter. These visits are as follows:

The Technical Services Unit staff will monitor the quality of work (including file reviews, invoicing and costing, and on-site inspections) and will conduct training and technical assistance as needed. The staff also conducts routine desk monitoring, file reviews, and field inspections of Local Administering Agency weatherization activities.

The Fiscal Monitoring Unit staff monitors the financial aspects of implementing IHWAP. OCA also conducts comprehensive fiscal monitoring visits at each high-risk Local Administering Agency at least once per year, based on an annual risk analysis.

Program Monitoring (The goal is for this monitoring to occur in the QTR 1 and 2)

Program Monitoring is completed by OCA's Technical Services Unit to ensure local administrative agencies are in compliance with IHWAP programmatic requirements. Programmatic monitoring is conducted at each Local Administering Agency by the assigned staff at least annually and more frequently, if needed. Program monitoring will occur in the first and second quarter of the program year and will consist of the following:

Pre-Monitoring Preparation

- Desk audits
- Air sealing reports
- Previous Year's Production and Expenditures
- Review of Procurement
- Review of Market Analysis and Comparing to Catalog Prices
- Local Administering Agency Weatherization Plan review
- Review of previous monitoring letters

Monitoring Review

- Staffing
- Employee certifications
- Training plans
- Energy audit process
- Client files
- In-Progress inspection process

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

- Final inspection process
- Health and safety requirements
- Insurance requirements
- Procurement review

The Local Administering Agencies provide production reports monthly. These reports are thoroughly analyzed by the Technical Services Unit staff and management staff.

Monitoring of Completed Weatherized Units (This monitoring will occur in the second, third and fourth quarters.)

The Technical Services Unit staff is also responsible for the quality assurance monitoring. Illinois' in-house procedures for quality assurance monitoring are described in the following sections:

1. On-site Monitoring of Completed Units - A minimum of five percent of the units completed by a Local Administering Agency is reviewed by the Technical Services unit when independent final inspections are conducted. When inspections cannot be done independently, OCA will increase its field monitoring to at least 10% of the Local Administering Agency's weatherization and will conduct targeted desk monitoring of the assessor/final inspector's work to ensure that the assessor/final inspector is able to competently perform both tasks. Reviews are conducted using a standardized job rating sheet referred to as the State Monitoring Report. This job rating sheet rates the pre-work inspection (assessment/energy audit), the actual work done, and the post-work inspection.
2. File Reviews for Completed Units - Technical Services Unit staff complete a file review for a minimum of five percent of production.
3. Monitoring of In-Progress Inspections – Technical Services Unit staff will review the local agencies In-Progress inspection tracking spreadsheet and monitor local staff performing In-progress inspections when possible.
4. Material Specifications Review – The IHWAP Program Operations Manual (Volume I) requires all Local Administering Agencies to procure only those materials specified in federal regulations. The Office of Community Assistance Procurement Manual (Volume II) requires all Local Administering Agencies to keep a complete record of their materials procurement process (including material specifications) on file for review by OCA staff.

These procurement files are required and if material specifications are not met, the Local Administering Agency must rebid that item. The Technical Services Unit staff considers whether the minimum product specifications are adequate to meet the needs of each Local Administering Agency's climatic conditions and/or work efficiencies. If the minimum specifications do not appear to be adequate, the reviewer may recommend the Local Administering Agency change its minimum specifications on the next bid.

5. Monitoring Material Prices for Cost Effectiveness - The material procurement files noted above will also contain a record of the market analysis, prices bid, and the price accepted for each type of material used by the Local Administering Agency. The prices are then compared to the WeatherWorks price catalogs to ensure accurate pricing is used in the energy audit tool.
6. Pre- and Post- Work Inspection Reviews - As previously indicated, the Technical Services Unit staff uses the State Monitoring Form when performing on-site reviews. This form was developed to evaluate not only the quality of work, but the acceptability of both the pre- and post-work inspection. When appropriate, further training is required of a Local Administering Agency staff person who has performed a significant number of unacceptable pre- or post-work inspections.

The following are tools used by OCA staff when conducting monitoring:

- Weatherization Program Monitoring Tool
- WeatherWorks Desk Audit Form
- State Monitoring Report (QCI-compliant)
- Client File Review Checklist
- Fiscal Management Review Form

Work Quality Deficiency Determination and Follow Up

While conducting on-site monitoring, OCA staff may identify deficiencies that require action. The following definitions apply to the deficiencies:

1. Finding: A serious weatherization work deficiency constituting noncompliance with the IHWAP Field and/or IHWAP Program Operations Manual. (See findings criteria below.)
2. Observation: All areas of noncompliance with the IHWAP Field Standards Manual and/or IHWAP Program Operations Manual not considered a

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Finding will be considered an Observation.

A. Observations may include but are not limited to sloppy work, missing attic insulation measuring sticks, incorrect documentation, etc.

B. Observations may require a response from the Local Administering Agency, detailing the corrective action taken to alleviate the deficiency identified, if specifically noted in the field visit report.

3. Recommendation: For field conditions observed that do not constitute substantial noncompliance with the IHWAP Field Standards Manual and/or IHWAP Program Operations Manual, OCA may determine a Recommendation.

1. Best Practice: For weatherization work installed or weatherization process completed that is exemplary in nature OCA may make a Best Practice determination.

Following is a list of findings criteria:

1. A deficiency meeting any of the following criteria constitutes a Finding

- The omission of a Health and Safety Measure or work completed with IHWAP funds compromises the health and safety of clients, Local Administering Agency staff, and contractor/crew staff, or the structural integrity of the building;
- The omission of a required measure or technique with major energy savings potential, as determined by the savings to investment ratio in WeatherWorks;
- Expenditure of IHWAP funds for items that exceed the stated cost limits, without prior written OCA authorization as specified in IHWAP Program Operations Manual. Additional, funds that exceed the cost limit specified will be considered as disallowed costs and must be removed from WeatherWorks or refunded to DCEO. All fiscal files, records, and documentation must be revised accordingly.
- Poor quality workmanship that significantly affects the performance of weatherization measures;
- Expenditure of IHWAP funds on retrofit measure that do not yield an acceptable Savings-to-Investment Ratio as determined by WeatherWorks;
- Expenditure of IHWAP funds on a measure that was not installed on the unit; and,
- Any action or lack of action that would threaten the integrity of the IHWAP and/or its ability to receive future funding.

2. A monitoring visit report from OCA that contains Findings:

- Requires an immediate response from the Local Administering Agency indicating corrective action to be taken.
- Could result in disallowed costs that the Local Administering Agency would have to refund to DCEO.
- Could result in an increased monitoring frequency by OCA.
- Could result in the requirement of additional training for the Local Administering Agency and/or contractor personnel as specified by OCA.
- Could result in additional special conditions being placed on the LAA and grant.

Substantial Number or Repeated Finding: High Risk Status or Grant Default Status

The occurrence of a substantial number of or repeated Findings may result in a decision by the OCA administration that a Local Administering Agency be placed on a Technical Assistance Plan. The Technical Assistance Plan identifies deficiencies, outlines corrective actions, and establishes timelines for the corrective actions. Agencies that do not address the deficiencies from the Technical Assistance Plans will be placed on High Risk status or Grant Default Status.

If a Local Administering Agency is placed on High Risk status or Grant Default status, special conditions may be placed on the grant which will affect the Local Administering Agency's ability to draw IHWAP funds. Those special conditions may include, but are not limited to, additional reporting requirements as specified by OCA, a detailed Corrective Action Plan to remedy monitoring deficiencies, and limited or total restrictions on the availability of cash requests from the appropriate IHWAP grants or all DCEO funding.

If a Local Administering Agency is placed on High Risk status or Grant Default status, the Local Administering Agency may be placed on probationary status for up to two years following the date of the probation period initiation.

Failure by the Local Administering Agency to comply with the special conditions placed on the grant agreement and/or continued non-compliance or Findings will be grounds for termination of the grant agreement between the Local Administering Agency and DCEO.

After failing to comply with weatherization grant conditions or the correction of grant deficiencies, the Local Administering Agency will be referred to DCEO Legal Office for review and disposition.

Notwithstanding any of the above, DCEO may suspend or terminate a grant without prior written notice upon a finding of substantial non-compliance or substantial breach of grant agreement.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

Furthermore, in some instances, if any Local Administrative Agency staff (including but not limited to intake staff, assessor, final inspector, weatherization coordinator, fiscal staff, or Executive Director), display egregious disregard for program policy or client health and safety, DCEO reserves the right to revoke the signature authority of staff and prohibit participation in IHWAP or other OCA programs upon first offense. IHWAP will also prohibit the Local Administrative Agency salaries from the staff being paid from OCA grants. DCEO also reserves the right to prohibit IHWAP trainers or any weatherization contractors who display egregious disregard for program policy or client health and safety from participating in the IHWAP or other OCA program. If IHWAP exercises this right, the Local Administrative Agency staff, IHWAP trainer or weatherization contractors will be notified by letter and will be informed of the appeals process.

Monitoring Report Letters

The OCA will issue a monitoring letter to the Local Administering Agency within 30 days of the conclusion of monitoring. The monitoring letter will summarize the results of the monitoring. The report will include any determinations made and the rule or policy that supports the determination. The monitoring letter will also detail the remedy required to resolve the determination which can include correction of the work and/or a plan of improvement or a Corrective Action Plan. The Local Administering Agency has 30 days to respond to the monitoring letter. The OCA will issue a response to the Local Administering Agency's response, within 15 calendar days, either requesting further corrective action or accepting the remedy and releasing the Local Administering Agency.

Fiscal Monitoring - The plan is to monitor approximately eight Local Administering Agencies each quarter of the program year. Fiscal monitoring covers the areas of financial reporting, account reconciliation, cash analysis, cost allocation, cash disbursements, and significant activity dates (e.g., application date, assessment date, date work began, date work completed, date final inspected, etc.). The fiscal review covers the areas of internal control, accounting procedures, cost classification and documentation, fiscal audit review, and cash management. Documentation required for the review includes the WeatherWorks Work Order form, Cost Reporting (invoicing), Release of Lien Waiver form, Final Inspection sheet, etc. Significant findings identified during fiscal monitoring include failure to meet timelines of payment, fiscal priorities not followed, computations not accurate, expenditures incorrectly charged or disallowed, etc.

DCEO's Office of Accountability is officially charged with performing the official A-133/2 CFR 200 review and determination of each Local Administering Agency's external audit as prescribed in OMB Circular A-133/2 CFR 200.

OCA's fiscal monitors also review the Local Administering Agency's A-133 audit/2 CFR 200 as applicable. Depending on the seriousness, significance, and repetitiveness of the deficiencies, the reviewer has several options on how to attempt to resolve the issue. OCA fiscal monitors are responsible for working with the Local Administering Agency to resolve any audit findings.

Once a Finding is noted during a monitoring visit, the reviewer is responsible for correctly assessing how best to address the Observation/Finding. OCA monitors are trained and counseled to keep materiality, overall Agency and program impact, severity of the issue, and frequency in mind when determining how to address an Observation/Finding.

When working with Local Administering Agency staff to resolve the deficiencies, the fiscal monitor will select one of the following actions:

Counseling: Deficiencies that are not serious, significant or repetitive are usually resolved through counseling. The monitor speaks to the Local Administering Agency staff making them aware of the finding, asks that they correct the problem making suggestions /recommendations where appropriate, and documents as an observation in the monitoring letter.

Technical assistance: Deficiencies that are serious or significant but that have not been a problem in the past call for technical assistance. While the Local Administering Agency is required to correct the deficiency, as a "first time offender" they are given training or technical assistance on how to improve procedures and ensure compliance in subsequent weatherization activities. The deficiency is also documented in the monitoring letter.

Corrective actions: A Local Administering Agency with a very serious or significant Finding addressed in previous visits is required to develop a Corrective Action Plan. The Corrective Action Plan is a permanent change in procedures aimed at resolving the noted deficiencies. Any corrective actions to be required of the Local Administering Agency must be addressed in the exit conference with the executive director (or designated representative). From the date of the monitor's official correspondence, a Local Administering Agency is given 30 calendar days to submit a written Corrective Action Plan. The monitor must then conduct a follow up visit to determine whether the Corrective Action Plan has effectively resolved the problem. A serious or significant deficiency that remains unresolved at the end of the program year may lead to a conditional grant, a limited grant, or no designation.

Assessing the Overall Health of Local Administrative Agencies' Weatherization Program

OCA conducts an annual agency assessment, called the IHWAP scorecard, to measure the overall health of all 33 local administrative agencies' weatherization programs in Illinois based on various factors. This agency assessment will be used to determine if OCA should explore soliciting an alternative local weatherization provider in any region of the state. The IHWAP scorecard will score each agency based on production (units weatherized) and funding expenditures, weatherization program and overall agency staffing capabilities, and results of programmatic, quality assurance, and fiscal monitoring. OCA will consider soliciting an alternative provider of weatherization services for any region where the local agency weatherization program scores below a minimally

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

acceptable score in this agency assessment.

Furthermore, some Local Agencies may decide on their own that they are not equipped to continue administering the weatherization program. The weatherization program requires staff with the building science knowledge and technical skills that many other community programs don't require and maintaining staffing with these skills may be difficult for some agencies. When agencies decide they no longer are able to administer the program, they should request in writing for OCA to solicit a new weatherization program provider.

OCA will also consider developing a list of backup LAAs for each service territory who can assist local agencies that have not had any production for a significant time period to ensure a certain level of service is being provided in all service territories of the state during the program year. The backup agency system will help where a local agency has lost significant weatherization staff, has had problems with procuring an adequate number of contractors, or is having other issues that prohibit the local agency from providing weatherization services.

V.8.4 Training and Technical Assistance Approach and Activities

The IHWAP Training and Technical Assistance Plan for Federal Year 2021 is attached as separate document in the attachments section of the SF-424 of this application.

Percent of overall trainings

Comprehensive Trainings: 71.0

Specific Trainings: 29.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings: 75.0

Percent of budget allocated to Crew/Installer trainings: 21.0

Percent of budget allocated to Management/Financial trainings: 4.0

V.9 Energy Crisis and Disaster Plan

Illinois WAP is in compliance with WPN 12-7.

In the event of an energy crisis or natural disaster declared by either Presidential or Governor Order, the OCA allows the use of DOE funding to provide relief. IHWAP funds have a very limited role in any disaster response. DOE funds may only be used for weatherization activities and the purchase and delivery of weatherization materials.

Local Administering Agencies will be required to prioritize service to buildings occupied by disaster victims. In some cases, agencies covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the Local Administering Agency that primarily serves the area. Work will be limited to allowable weatherization measures. In cases where a previously assisted unit has been damaged by fire, flood or other natural disaster, assistance can be provided with prior approval from OCA. Generally, assistance will only be provided to pay for damage not covered by insurance or other federal disaster relief program.

To the extent that services are in support of eligible weatherization (or permissible reweatherization) work for eligible households, such an 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 agency 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 according to the DOE Financial Assistance Regulations.

The use of Weatherization Assistance Program grant funds for relief efforts is limited by the following:

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007917, State: IL, Program Year: 2021)

- The total allowance for relief efforts is limited to a maximum allowance per the IHWAP Procedures Manual.
- The total allowance for incidental repairs in support of the installation of weatherization materials is limited to the current maximum reimbursement for minor envelope repairs per the Local Administering Agency grant agreement.

The cost to pay for weatherization personnel to perform non-weatherization relief work in the community as a result of a disaster is not allowable.