

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

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

A dwelling unit shall be eligible for weatherization assistance if it is occupied by a family whose income is at or below 200% of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget (OMB) or contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable State or local law at any time during the 12-month period preceding the determination of eligibility for weatherization assistance.

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The PY 2022 income eligibility thresholds are the following:

| Size of Family Unit | Threshold | 200%     |
|---------------------|-----------|----------|
| 1                   | \$13,590  | \$27,180 |
| 2                   | \$18,310  | \$36,620 |
| 3                   | \$23,030  | \$46,060 |
| 4                   | \$27,750  | \$55,500 |
| 5                   | \$32,470  | \$64,940 |
| 6                   | \$37,190  | \$74,380 |
| 7                   | \$41,910  | \$83,820 |
| 8                   | \$46,630  | \$93,260 |

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For families with more than 8 persons, 100% of poverty level increases \$4,540 for each additional person. Therefore, for weatherization at 200% of poverty level, add \$8,960 for each additional person.

Income refers to total cash receipts, before taxes, from all sources for all people living in the dwelling unit.

This includes money, wages and salaries before any deductions but do not include food or rent in lieu of wages. Other receipts would be public assistance, social security, unemployment and workers compensation, strike benefits from union funds, veteran's payments, training stipends, regular foster parent grants or payments, alimony, child support, and military family allocations or other regular support from an absent family member or someone not living in the household, private pensions, government employee pensions, regular insurance or annuity payments, grants, scholarships and work study, income from dividends, interest, rents, royalties, or periodic receipts from estates or trust and lottery earnings if paid monthly or annually.

Not considered income are capital gains, any assets drawn down as withdrawals from a bank, sale of property, house, or car, tax refunds, gifts, lump-sum inheritances, one-time insurance payments, or compensation for injury. Also excluded are non-cash benefits, food or rent received in lieu of wages, energy grants, student loans, and bank loans. Rebate checks provided by the Economic Stimulus Act of 2008, will be also excluded.

The period of time for income eligibility will be the 12 month period preceding the determination of eligibility for weatherization assistance.

**Description of the process for extending WAP categorical eligibility to applicants (WPN 22-5)**

Extending WAP categorical eligibility to applicants who meet HUD's income eligibility requirements better facilitates referral services for low-income households, reducing burden on both intake agencies and impacted households trying to obtain services. Better coordination and alignment encourages leveraging (or braiding) of multiple funding sources, reduces complexity, and results in further energy efficiency upgrades and savings for low-income households.

Expanding DOE's income eligibility to categorically include HUD means-tested programs will better facilitate referral services for low-income households, reducing the burden on both the intake agencies and households trying to obtain services.

Current income eligibility guidelines include:

- DOE's WAP accepts households using up to 200% of Federal Poverty Guidelines (FPG).
- HHS' LIHEAP accepts households using 150% of FPG, or states may elect to use 60% of State Median Income (SMI), whichever is greater for their respective state. Each Grantee is permitted under 42 U.S. Code § 8624(b)(2)(B) to set an income limit within this range.
- HUD's means-tested programs accept households using percentages of Area Median Income (AMI) ranging from 30% AMI to 80% AMI, depending on specific program parameters. HUD uses 4,684 Fair Market Rent (FMR) areas to establish AMIs, based on metropolitan areas and non-metropolitan counties.
- VA has no income-based eligibility programs to align with this purpose and is therefore not included in the scope of this expanded definition of income eligibility.

The effort explored the overlap in incomes of the different households served through the various programs. The overlap is sufficient to consider "categorical income eligibility", defined across programs as automatically granting program eligibility to applicants who have already met the eligibility requirements of another agency's identified program.

After consultation with the Secretary of Agriculture and the Director of the Community Services Block Grant Program from HHS, as required in 42 U.S. Code § 6863(b)(3), on October 20, 2021, the Secretary of Energy approved DOE's WAP to extend categorical income eligibility to HUD means-tested programs.

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

*NOTE: The Director of Community Services Administration, identified in statute, through reorganization of government offices, is now the Director of Community Services Block Grant Program in the U.S. Department of Health and Human Services. WAP Grantees and Subgrantees may certify that applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Method of verification of eligibility must be included in the client file.*

The beneficiaries of this change include:

- 1) DOE WAP Grantees and Subgrantees – allowing qualified households for means-tested HUD Programs to be categorically eligible for the WAP.
- 2) Low-income eligible households being served by removing the additional burden of applying for and submitting the same documentation to multiple programs to receive comprehensive services.

**Multifamily-Specific Guidance**

This WPN simplifies (and supersedes) procedures previously outlined in WPN 17-4, Multifamily Housing – Procedure for Certifying Income-Eligible HUD Assisted Buildings. WAP Providers generally encounter three types of multifamily properties assisted by HUD: (1) housing owned and operated by HUD Public Housing Agencies (PHAs), (2) privately-owned multifamily buildings receiving project-based assistance, and (3) privately-owned multifamily buildings that house residents who receive tenant-based (housing voucher) assistance.

- Housing owned and operated by PHAs: WAP providers shall consider all such buildings managed by the PHAs referenced in this HUD Web page to be 100 percent income eligible.
- Privately owned multifamily buildings receiving project-based assistance: WAP providers should refer to these lists to determine the percentage of the units in each building that are income eligible.
- Privately-owned multifamily buildings that house residents receiving tenant-based assistance: WAP providers will determine the percentage of income eligible residences by either contacting the building owner/manager to obtain such Section 8 Housing Choice Voucher records (from HUD's Tenant Based Rental Assistance Program [TBRA]) or by individually verifying which residents hold such vouchers.

Additional changes in procedures directly related to verification of families receiving HUD assistance in multifamily buildings and how those buildings will be qualified going forward will be included in updated FAQs, available through the respective DOE Project Officers.

U.S. Department of Agriculture (USDA) and Low Income Housing Tax Credit (LIHTC) Properties: The certification procedures outlined in this Guidance do not apply to LIHTC properties, or for properties with USDA guaranteed loans. The LIHTC and USDA lists of income-eligible properties are no longer valid and will no longer be updated; WAP providers should follow standard procedures for verifying individual resident incomes for USDA and LIHTC properties.

For more information about the applicants documentation, please refer to Attachment "Sect 9.0\_Applicant Documentation\_WAP-PR Operation Manual".

Describe what household eligibility basis will be used in the Program

Please Refer to SF-424 attachment "Extract\_WAP-PR\_Operational Manual\_Sect.4+5\_Priority Population and Eligibility" for more information.

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

To ensure qualified aliens, an important step is to verify nationality and if the individuals are permanent resident aliens. After verification of qualified alien status the procedures and eligibility criteria will be the same establish in this section for income and household.

The procedure for proof of nationality is the following:

Individuals receiving weatherization assistance shall be U.S. Citizens or qualified aliens. The weatherization application requests the applicant to attest to their citizenship or alien status under penalty of law. However, to minimize fraud, applicants will be required to provide one of the following forms of evidence:

●■■■■■ Citizens

- o Birth Certificate
- o Passport
- o Social Security Card (original) with copy

●■■■■■ Permanent Resident Aliens

- o Permanent Resident Card (Green Card / INS Form I-551)
- o Social Security Card (original) with copy

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

### V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

A technical coordinator, contracted by the DDEC, will review and verify that all documents submitted by the client in the application form are in compliance with the programs requirement and eligibility parameters. The list of all the pertinent documents required for the completion of the application will be available at the physical office of the DDEC, located at 355 F.D. Roosevelt Ave, Hato Rey PR. or sent by email, if requested, at [wap@ddec.pr.gov](mailto:wap@ddec.pr.gov). The documentations required for the application are the following:

1. Authorized Representative
2. Income
3. Proof of Ownership of the Unit to be weatherized
4. Proof of Identity
5. Proof of Residency
6. Proof of Nationality

The Client File will include the following forms and documents:

• [ ] Applicant Forms: *WAP Application (CF-1), Applicant Agreements (CF-2), Authorized Representative Form (CF-3), Declaration of Income Form (CF-4), Declaration of Zero Income (CF-5), Owner Authorization for a Rented Dwelling Unit (CF-6), Declaration of Ownership (CF-7), Request for Additional Information Form (CF-8), Notice of Incomplete Application (CF-9), Notice of Eligibility (CF-10), Notice of Ineligibility (CF-11), Notice of Denial of Services (CF-12), Notice of Postponement of Services (CF-13), Notice of Weatherization Works to be Performed (CF-14).*

• [ ] Office Forms: *Intake Application Checklist (OF-1), Application QC Form (OF-2), Declaration of Weatherized Unit (OF-3), Eligibility Committee QC manager Form (OF-4)*

• [ ] Auditors Forms: *Auditor Report and Questionnaire (AF-1), Unit Floor Plan Drawing (AF-2)*

• [ ] Technical Coordinator Forms: *Refrigerator Contractor Work Order Form (CWO-1), Air Conditioner Contractor Work Order Form (CWO-2), General Contractor Work Order Form (CWO-3), Solar Water Heater Contractor Work Order Form (CWO-4),*

• [ ] Inspector Form: *Inspector Report (IF-1)*

• [ ] Additional Information:

- o Financial documentation (ie. Invoices, etc)
- o Auditors and Inspectors Reports (ie. Photo Report),
- o Documentations required in the forms mentioned above,
- o Copy of correspondence, letters to clients.
- o Lead Paint notification, Mold and Moisture assessment, is included on the auditor and contractor report.

By the end the of the weatherization process, all pertinent documents mentioned above, must be included as part of the complete client file.

For more information about the applicants documentation, please refer to Attachment section in SF-424: "Sect 9.0\_Applicant Documentation\_WAP-PR Operation Manual"

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

Describe Reweathering compliance

Re-weatherization do not apply to Puerto Rico since we were included for the first time in the WAP Program in 2009.

To ensure that Puerto Rico is not providing weatherization services to any dwelling more than once, under any budget period, the Energy Affairs Administration, currently known as the Energy Policy Program Public (EPPP), has a database of all the past units weatherized in the WAP program. Before conducting any weatherization activity on a dwelling, all new unit are first verified against the database to ensure that no dwelling is being weatherized twice.

Describe what structures are eligible for weatherization

Please Refer to SF-424 attachment "Extract\_WAP-PR\_Operational Manual\_Sect.4+5\_Priority Population and Eligibility" for more information.

Single family dwellings built using concrete, wood or a combination of them. PRWAP doesn't weatherize units with a commercial energy bill. As of 2022, PR doesn't weatherize non traditional structures.

Eligible Dwelling Units:

1. Single Family: occupied by a family unit whose total income is at or below the level determined in accordance with the criteria established by the Director of the OMB or:
  - which contains at least one (1) member who has received cash assistance payments under the following Social Security Act Titles and/or State or Local Laws at any time during the 12-month period preceding the determination of eligibility for weatherization assistance Social Security Act Title IV (TANF)
  - Nutricional Assistance Program (PAN by its Spanish Acronym)
2. Multy Family Units: For a building to be considered a Multy-family unit for the purposes of WAP, it:
  - Shall contain more than one rented dwelling unit.
  - shall be owned by a single owner, busines entity, or government agency that rents out all the units in the building.
  - includes deplexes/townhouses, row houses, walk-up and high-rise apartment building

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units:

As specified in 10 CFR 440.22 (b), the grantee may weatherize rental dwelling units. The following conditions shall be followed when weatherizing rental units:

- 1) No rental unit dwelling shall be weatherized without first obtaining a written permission of the owner or the owner's authorized representative.
- 2) Rents shall not be raised because of the increased value of dwelling unit due solely to weatherization assistance provided.
- 3) No undue or excessive enhancement shall occur to the value of the dwelling unit.
- 4) The benefits of weatherization assistance shall accrue primarily to the low income tenants.

The applicant must include the CF-6 Form "Owner Authorization for a Rental Dwelling Unit" as part of the Application package if the client the tenant. The form is divided in three sections. The first include the instruction and brief description of the program. In the description it is stated the mission of the program, the benefits that it brings to the owner or tenant of a dwelling and the possible weatherization measures that can be performed in the dwelling, such as replacements of A/C unit, water heaters, refrigerators, work that mitigates problems related to health and safety, etc. The second part is the "owner's commitment" that certifies the following: 1) not to increase the rent of the weatherized units for a period of two years for reasons related only to weatherized units. Increase in rent due to an increase in expenses and other improvements not related to weatherization are permitted. 2) Not to initiate a process of eviction of the tenant for reasons related only to the weatherization of the unit. Eviction of tenant for violation of lease is permitted. 3) That this is the first time that weatherization of the dwelling is requested. The third part of the form is the authorization for weatherization personnel to access and enter the residence. This form is signed by the owner of the property as a mandatory requirement for granting of funds.

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

For any complaint tenants will follow the agencies procedures for complaints in accordance with Law 170 of August 12 1988 Uniform Administrative Procedures of Puerto Rico Law.

**Multifamily Buildings:**

For a building to be considered a Multi-family unit for the purposes of WAP, it:

1. Shall contain more than one rented dwelling unit
2. Shall be owned by a single owner, business entity, or government agency that rents out all the units in the building
3. Includes duplexes/townhouses, row houses, walk-up and high-rise apartment buildings

Under the definition, buildings in which units are owned separately and represented by a condominium or neighborhood association are not considered multi-family buildings for the purposes of WAP.

The grantee may weatherize all the dwelling units and common areas of buildings that contain the following percentages of dwelling units eligible for weatherization assistance:

**Dwelling Units**

**in Building**

**Percentage (%) of**

**Eligible Units Required\***

Two (2) to Four (4) (includes duplexes)

50% or more

More than Four (4)

66% or more

\* Percentage may include vacant apartments that will become eligible dwelling units within 180 days under a Federal, State, or local government program for rehabilitating the building or making similar improvements to the building. That is, all designated-eligible vacant apartments will be occupied within 180 days from the completion of the work by eligible clients.

If the multifamily building is located in a complex, each building is to be considered separately when determining the percentage of eligible units.

If the above conditions are met, the common areas and all dwelling units of the building may be weatherized. The total value of the measures installed in the entire building (weatherized units and common areas) may not exceed the average per-unit investment multiplied times the number of eligible units.

For buildings owned by private individuals or private business entities, the grantee must attempt to obtain an investment from the owners of multi-family properties of not less than 25% of the total amount planned for expenditure on the building. If the building owner refuses to invest the minimum required amount, then weatherization of the common areas and dwelling units over the required threshold percent will not take place. Owner investment will not be required for buildings owned by state or local governments.

The common areas of a multi-family unit containing less than the required percentage of eligible dwelling units shall not be weatherized. However, individual dwelling units within the building may be weatherized, provided that the occupants and the dwelling qualify with the requirements established in this Master File, and that additional requirements for renter occupied units are also fulfilled.

**Describe the deferral Process**

**Deferral Distribution**

The client may meet the eligibility requirements but for other reasons the unit is not a good candidate for weatherization. Therefore, the unit may be deferred because of the following:

1. Condition of the structure (building integrity/inability to practically or effectively weatherize).

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

2. Area slated to be redeveloped (highway development, economic development, flood area).
3. Health and safety reasons that defer services such as infestation or mayor electrical deficiencies.
4. No communication or if by some reason the client could not be reached.

A letter will be sent to the client, explaining the reasons of the deferral and suggestions of what the client needs to do in order for our agency to consider the weatherization of the unit.

In the cases of the clients that could not be reached, a deadline for them to communicate with the agency will be established on the letter. If the client fail to communicate within the given time, the case will be close and another eligible person will be considered. The timing given will be monitored by the program Work Order Management System (WOMS) that will provide us with a alarm when the timing has concluded.

The following is more information on the Deferral Policy:

**Deferral Policy (Provide a detailed narrative of the grantees overall deferral policy):**

Agency shall utilize the Weatherization Deferral/Referral Notice to provide written notice to clients in dwellings where problems exist that are outside the scope of Weatherization.

As notified in the PR Standard and Field Guide Part 1\_Section 2.9-Deferral Situations,  
Some of the more common deferral situation includes:

1. The client has known health conditions that prohibit the installation of any equipment and other weatherization measures.
2. The dwelling structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
3. The house has sewage or other sanitary problems, such as animal feces, that would further endanger the client and weatherization staff.
4. Extensive moisture/ mildew problems are severe and cannot be resolved under existing health and safety measures and with minor repairs.
5. The client is hostile, uncooperative, abusive, or threatening to the program staff, auditors, or crew that must work on or visit the dwelling unit.
6. The extent and condition of lead based paint in the house would potentially create further health and safety hazards.
7. Improperly stored chemicals, combustible materials, or other fire hazards that present a danger to the occupants or the workers.
8. Major remodeling is in progress, which limits the proper completion of major weatherization measures.
9. Illegal activities are being conducted in the dwelling unit.
10. Unrestrained aggressive pets that can threaten the safety of the weatherization staff.

Steps to follow after the house is declared a deferral:

1. Contact the client and inform why the home was declared deferral.
2. The client is told that they have to resolve the situation and our contact information is provided.
3. The client is informed that they should contact the office if the situation for which the house was declared deferral is solved, so we can continue with the weatherization.
  - o If the client contacts the office informing that he solved the problem, proceed as follows:
  - o A technician coordinator visits the home to verify that the situation was corrected, if the situation is corrected, the weatherization will continue.

Priorities

As notified in the Program Operation Manual Part 4.0 Weatherization Priority Population\_Section 4.1-Priority Classification,

**WFR Activity Monitoring:**

The overall objective of this monitoring is to familiarize the monitors and the PEPP personnel with the most significant requirements of the DOE programs and assist them with the compliance with those requirements.

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

**Goals of Monitoring**

The Puerto Rico Weatherization Assistance Program goals for WRF monitoring activities include:

1. Analyzing whether best possible program services are being delivered to the deferral unit.
2. Determining program compliance and accountability.
3. Analyzing program performance.
4. Analyzing quality and effectiveness of the work on completed dwellings.
5. Being an advocate for program improvement.
6. Identifying problems, deficiencies, and areas that need improvement.
7. Assisting agencies in their program operations and compliance with DOE and State regulations.
8. Advising agencies on how to correct any weaknesses and deficiencies.
9. Assessing the need for training and technical assistance to improve local agency service delivery, cost-effectiveness, and accountability.
10. Determining ways that monitoring activities can be improved.

**Monitoring Process:**

The WAP will be variety of mechanism to determine compliance with the requirements of Deferral process.

**Desk Monitoring:**

Desk monitoring is an essential part of the ongoing monitoring process when performed regularly for all projects. As part of this procedure the monitor reviews any deficiencies in reporting such as delinquent reports, and if any error or inconsistency is detected, the monitor should contact the Program Manager for clarification.

Where discrepancies exist between planned activities and actual accomplishments reported, the Monitor will conduct follow-up with the Grantee (PEPP) to determine cause and future actions to correct the discrepancy.

The Agency will be notified in advance of any desk-reviews to be performed by a project monitor. The monitor may request evidentiary documents including receipts, invoices, time sheets, photographs, monthly reports and others relevant material for purposes of this view.

During the desk-review, the monitors will complete a Checklist for Desk-Review, which consist of various questions covering all performance indicators (Budget, Schedule, Scope and Compliance). After the Checklist is completed, the monitor will make notes of any issues identified, recommendations, and required corrective actions.

**Fiscal Monitoring:**

Weatherization Fiscal Monitoring will typically occur during the PEPP program monitoring. The fiscal monitoring will be conducted by the PEPP Fiscal Monitor. During the visit, the fiscal monitor will review all of the fiscal operations of all deferral unit being impacted by the program WAP. Activities of the fiscal monitoring at local agencies will include:

1. Review financial records.
2. Review purchasing and bidding practices.
3. Review travel records.
4. Review vendor payments.

On site visit:

Monitors should conduct on site monitoring at least annually for 5-10% of their high priority projects. The timing of on-site monitoring is important. Site visits should be conducted early enough so that the project can benefit from any changes implemented and late enough so that there is activity to measure.

During the monitoring visit, the auditor will complete a Checklist for On-site Monitoring Visit, which consists of various questions covering all performance indicators (Budget, Schedule, Scope and Compliance). After the checklist is completed, the monitor will make notes of any issues identified, recommendations, and required corrective actions. The Checklist will them be included as part of a Monitoring Report that the monitor will submit to the program WAP.

**Adjusted Average Cost per Dwelling Unit (ACPU)**

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

Every year Puerto Rico WAP has an average of 14 units that are determined to be deferral. Based on that calculation, the average ACPU per unit will be \$6,490.

**Weatherization Readiness Fund (WPN 22-6)**

The purpose for Weatherization Readiness Fund (WRF) is to reduce the frequency of deferred homes that require services that are outside the scope of weatherization before the weatherization services can commence. WRF will bring the dwelling into weatherization readiness by addressing structural and health and safety issues.

The grantee must conduct a thorough inspection of the dwelling to identify all deferral issues to avoid multiple deferrals. The grantee will prioritize households for WRF based on the complexity of the fix, the cost related to the issue, and must not pose significant threat, endangerment, or create a significant health concern.

The nature of the repairs may fall under the following categories:

- Roof Repair
- Wall Repair (Interior or Exterior)
- Ceiling repair
- Floor Repair
- Exterior drainage repairs (e.g. gutters)
- Plumbing repairs
- Electrical repairs
- Cleanup or remediation beyond typical scope of WAP
  - Lead Paint
  - Asbestos (Confirmed or suspected, including vermiculite), mold and/or moisture
  - Debris
  - Pests or feces removal
- Any other possible issue or repair not mentioned above will require the Subgrantee to obtain permission from Grantee prior to utilizing the WRF.

**Restrictions**

WRF will not be utilized for homes that exhibit dangerous conditions that may pose a significant threat, endangerment, or can create a significant health concern to the Subgrantee's staff, contractors, and/or crews.

**Monitoring**

The WRF will be monitored through the monthly reimbursement process. Subgrantees will be required to indicate and identify the homes where WRF was utilized on their Financial Activity. The WRF ACPU will also be monitored at that time. Additionally, the WRF will be monitored during yearly remote and onsite monitoring. The Subgrantee will be responsible for producing documentation (e.g. invoices, etc.) to corroborate the expenditures for the purpose of making the dwelling weatherization ready.

**V.1.3 Definition of Children**

Definition of children (below age): 6

**V.1.4 Approach to Tribal Organizations**

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

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

Eligible applicants are served without regard of race, color, age, sex, disability, national origin, or political and religion belief.

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

**V.2 Selection of Areas to Be Served**

The location of the houses to be weatherized is not considered as a factor in determining the distribution of units since Puerto Rico climate does not exhibit significant variations between low elevations and mountain areas. The application process will be opened to all eligible residents of Puerto Rico.

**V.3 Priorities**

As stated, the Weatherization Assistance Program Operational Manual, the WAP will assistance to program eligible persons who are elderly, persons with disabilities, families with children, high residential energy users and households with a high energy burden.

Persons with a fixed rate in their electric bill will not qualify to the Program. The fixed electric rate is a special tariff for helping low-income residents of public buildings in Puerto Rico. The special tariff was created by law #69 on August 11, 2009. The monthly payment mainly depends on the number of rooms in a dwelling and not on the electric energy consumption. Therefore, if the electrical consumption remains within a determined range any savings will not be reflected in their bills.

| Number of Rooms | Fixed fee | Maximum Consumption<br>(kwh) |
|-----------------|-----------|------------------------------|
| 1               | \$30      | 600                          |
| 2 - 3           | \$40      | 800                          |
| 4 - 5           | \$50      | 1000                         |

Please Refer to Attachment "PRWAP State Plan 2022"

**V.4 Climatic Conditions**

The climate of Puerto Rico falls into the tropical climatic zone. Temperatures are moderate year round, with a range from 70 °F (21 °C) to 90 °F (32 °C) in the lower elevations, and between 60 °F (16 °C) and 80 °F (27 °C) in the mountains. Puerto Rico averages close to 4,500 cooling degree-days. The humidity runs continuously at around 80%. The island is vulnerable to hurricanes, between the months of July through November.

**V.5 Type of Weatherization Work to Be Done**

**V.5.1 Technical Guides and Materials**

Please Refer to attachment "Extract\_WAP-PR\_Operational Manual\_Sect.10" for information about the Programs Measures-Weatherization Measures.

All work is being performed in accordance to the DOE-approved energy audit procedures and 10 CFR 440 Appendix A.

Please Refer to the SF-424 for the DOE approved PR Standard and Field Guide-2019.

Distribution: The PR Standard and Field has been distributed to the technical coordinators, auditors, inspectors, general and solar water heater contractors and any other entity that work directly in the WAP program. At the trainings sessions we distributed the copy of the Standard and Field Guide to each participant in digital form or hardcopy. A transmittal document of receipt is signed by these participants. In the case of the General and Solar Water Heater contractors, the PR Standard and Field Guides forms part of their contract agreement with our agency, State Office of Energy Policy. For this program year we will continue to distribute the PR Standard and Field Guide to all personnel and organization that will work directly with the WAP Program.

Contract Agreements: The contractors are selected through an auction carried out by General Services Administration office of the government of Puerto Rico. Contractors have contracts with the General Services Administration which specifies all the responsibilities that the contractor has. Then Department of

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

Economic Development and Commerce makes a contract to the contractor that was selected through the auction, where it specifies responsibility to perform work to the specifications outlined in the quality work.

Field guide types approval dates

Single-Family: 3/28/2019

Manufactured Housing:

Multi-Family:

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

Puerto Rico will use DOE approved spreadsheets in combination with the Puerto Rico Energy Audit Tool (PREAT) for single family audits.  
PREAT has been developed by Puerto Rico WAP

Approval Date: 4/9/2020

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

Puerto Rico will use DOE approved spreadsheets in combination with the Puerto Rico Energy Audit Tool (PREAT). PREAT has been developed by Puerto Rico WAP

Approval Date:

Audit Procedure: Multi-Family

Audit Name: Other (specify)

See Comments.

Approval Date:

Comments

Puerto Rico will use DOE approved spreadsheets in combination with the Puerto Rico Energy Audit Tool (PREAT) for single family audits. PREAT has been developed by Puerto Rico WAP the Energy Policy Program Public (EPPP). The DOE approved the use of PREAT on 4/20/25.

Multi-Family:

Based on the Puerto Rico Weatherization Assistance Program Final Report for program years 2009-2012, the weatherized multifamily units represented only a 0.8% of the total weatherized units for the 2009-2012 period. Therefore we will include in the State Plan the following approach to ensure that the eligible occupants of multifamily dwellings buildings receive appropriate, cost-effective weatherization services.a. Each unit within an eligible buildings complying with the WAP multifamily weatherization criteria will be audited based on DOE approved spreadsheet in combination with the Puerto Rico energy audit tool (PREAT).b. Common areas will be audited utilizing a separate PREAT audit form.c. Audit results obtained from all PREAT forms will be compiled with all weatherization cost added together to obtain the total weatherization cost for the building. As stated in section 5.4 of the PR WAP Operation Manual, the total value of the measures installed in the entire building (weatherized units and common areas) may not exceed the average per unit investment multiplied by the number of eligible units.d.Prior to the implementation of any weatherization measure at the multifamily building a report with all necessary documentation mentioned above will be submitted to the Project Officer for review and approval.

**V.5.3 Final Inspection**

As stated in 10 CFR 440.16(g), a dwelling unit may be reported completed as long as the grantee or its authorized representative, has performed a final inspection and certifies that the work has been completed in a workmanlike manner. The final inspection must be performed by a State certified inspector contracted by the grantee. The inspector shall not be affiliated with the contractor that performs the work. The signed inspection form certifies that measures installed should, under reasonable conditions, save energy and make the dwelling more comfortable for the inhabitants. If a designated measure is not installed,

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

then a written explanation must be included in the file and noted on the inspection form.

During the monitoring process, approximately 5% of completed jobs will be inspected by the grantee to evaluate a sampling of work quality, work orders, and post work inspections. In addition, all summary sheets and reports outlining measures on each completed job will be reviewed and entered into a statewide database. Therefore we will include in the State Plan the following approach to ensure that the eligible occupants of multifamily dwellings buildings receive appropriate, cost-effective weatherization services.

**Puerto Rico is exempt to perform inspections by a Quality Control Inspector but as PR WAP rule all the Contracted WAP Certified Inspectors that will monitor the 100% completed units must be a licensed engineer or licensed architect. Attached is the Inspector Report Form (Form #IF-1). All report must be signed and Stamp with the Licensed Architect or Licensed Engineer seal. These inspectors are an independent third-party contractor and are not involve in the audit process of the unit.**

**Please refer to attachment Extract\_WAP\_PY2015\_POM\_Sect 15 of the PR Program Operational Manual for more information.**

**After the final inspection, if a client is not satisfied or complains of about any of the weatherization works, the following process will be used:**

- 1. A WAP Technical Coordinator will visit the client to verify the home.**
- 2. The Techincal Coordinator will review and analyze the entire case again, from intake to final inspection.**
- 3. If everything is satisfactory, a letter will be sent to the client explainig the investigation and the resuts.**
- 4. if any fault is found, it will be solved immediately.**

**if any problem is found at the investigation, and it proved that the inspector failde, proceed as follows:**

- 1. The inspector will be re-trained.**
- 2. is the inspector does not accept the re-training, the inspector will be removed from the Program.**
- 3. If the inspector approves the re-training, he/she will be re-trained and remain in the Program.**
- 4. To make sure the inspector understood the training, a WAP Technica Coordinator will inspect the next home along the inspector.**
- 5. If approved by the Technical Coordinator, the inspector will continue to work for the Program, but will go through a probationary period to ensure a good performance, if the Technical Coordinator does not approve, the inspector's contract will be revoked.**

**During the probationary period, if the inspector continues to perform below expectations, he/she will be removed from the program.**

#### **V.6 Weatherization Analysis of Effectiveness**

Since the principal target of the WAP program is to assist low-income families to reduce energy consumption, Grantee will continue with the utilization of the Puerto Rico Energy Audit tool (PREAT). With this tool the auditor can calculate the effect of weatherization measures in lowering the home monthly energy consumption in KW-Hr. This projected energy reduction would be compared with the actual energy reduction as show in monthly bill to determine the effectiveness of the weatherization works performed at each home. For comparison periods grantee would use billing energy information for a whole year (six month before and after weatherization measures are completed)

As a Direct Service Grantee we would compare average energy savings per weatherized homes to the previous savings obtained during the past 2009-2012 performance period of 1459.2 KW-H/year. Although Grantee recognizes that this year's program is not comparable in scale and scope (smaller quantity of units to be weatherized) with the 2009-2012 period, the average energy reduction comparison would give an idea of the effectiveness of this year's program regarding the energy savings resulting from the implemented weatherization measures.

Training capabilities would be assessed mainly with the utilization of the Dwelling Unit –Works complete Summary Form SOEPIF, used by the production monitors. In this form results for each weatherization measures is assessed for contractor workmanship, client satisfaction with each measure and health and safety observations, and overall client satisfaction with the weatherized works performed. Any deviation from WAP program requirements resulting from such

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

quality inspection, would be utilized for continue refinement of training either by on the job training or special communications notices.

Continues improvement of WAP program efficiency would be supported with the utilization of a custom-web-based program . This data base application will provides access to all personnel involved in the WAP process (auditors, contractors, inspectors, technical coordinators and managers) to the program stored information. The centralized program would facilitate efficiency improvement in the report generation/data evaluation and project progress tracking.

## **V.7 Health and Safety**

Refer to the Health and Safety plan for Puerto Rico attached in section-~~92~~4.

## **V.8 Program Management**

### **V.8.1 Overview and Organization**

The Puerto Rico Weatherization Assistance Program (WAP) will be administered by the Department of Economic Development and Commerce (DDEC), by Energy Policy Program (EPP) previously knows as the State Office of Energy Policy (SOPP). Act No. 141 of July 11, 2018, also know as the Execution Act of the Reorganization Plan of the Department of Economic Development and Commerce:

"The Energy Policy Program is hereby created, hereinafter" Program", as part of the Department of Economic Development and Commerce, which is responsible for developing and promulgatin the public policy of the Government of Puerto Rico. All orders or regulations of the Program will be issued on behalf of the Department of Economic Development and Commerce".

EPP serves as one of the public agencies that oversee the development of the energy industry in Puerto Rico. As such, it's responsible for promoting and implementing Puerto Rico's energy policy. EPP will also serve as liaison between Puerto Rico and the Department of Energy, the Federal Energy Regulatory Commission, the U.S. Energy Information Administration and/or any agency or office having interference on energy issues at the federal level.

EPP receives and manages state and federal grants. Federal grants are managed using the State Plans approved by the award agency or through cooperation and/or contract agreement with grantees. EPP is also responsible for the administration and implementation of the following programs:

- Weatherization Assistance Program (WAP)
- State Energy Program (SEP)
- Green Energy Fund (GEF)
- Energy Savings Performance Contract Program (ESPC)

The Weatherization Assistance Program (WAP) was created in 1976 to assist low-income families who lacked resources to invest in energy efficiency. Puerto Rico was included for the first time in the WAP for Program Year (PY) 2009 and this being EPP's seventh year. The Program mission is to reduce energy costs, while ensuring the health and safety for eligible low-income families. Priority is provided for households with children, the elderly, and persons with disabilities. As previously mentioned, the Program will be administered by EPP, acting as the Grantee. EPP will administer the WAP in compliance with applicable laws; including regulations contained in 10 CFR Part 440, 2 CFR Part 200, DOE WAP notices and other procedures applicable to these regulations as the United States Department of Energy (DOE) may prescribe for the administration of financial assistance. Program services will also be delivered by the EPP. The program services includes, but not limited to, identifying eligible customers, evaluating the dwelling units to be weatherized, training of personnel, installation of energy-saving measures, supervision of weatherization work, maintenance of customer files, and report drafting.

### **V.8.2 Administrative Expenditure Limits**

The Energy Affairs Administration (EAA), currently known as the Energy Policy Program (EPP) will retain approximately 5.0% of the grant for the their administrative costs.

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

(Grant Number: EE0009928, State: PR, Program Year: 2022)

**V.8.3 Monitoring Activities**

The Energy Policy Program (EPP) will conduct comprehensive monitoring and oversight of its own operation, to assure compliance with its inherent responsibility as a direct service Grantee of federal funds under the Weatherization Assistance Program. The comprehensive monitoring would be performed by grantee staff or contractors not associated with the daily operation of the program following the Monitoring Administration and Process section of PREAA monitoring guide of January 2011. This guide was created to provide a framework of monitoring activities for federal funds received and used by the PREAA in compliance with its inherent responsibilities as a federal pass-through entity with the understanding that its procedures and guidelines do not supersede the latest rules and regulations governing each specific program. Also, the PEPP will follow the WPN 16-4: Updated Weatherization Assistance Program Monitoring Guidance.

Monitoring will consist of visits to assisted units and desk audits, where performance reports and other information will be reviewed. In-site monitoring will be done to identify methods, deficiencies, and success in program operations and to assess technical assistance needs to develop appropriate training courses. The grantee field staff will perform periodic monitoring to determine operational effectiveness of the program, including prioritization of weatherization measures, job costs, material standards, and verification that the completed work is reflected in the job files. In-site monitoring could also include, but will not be limited to, financial records, inventory, client files and work completed.

Administrative and Fiscal Monitoring

The PEPP may choose between a member of the grantee staff or an independent contractor not associated with the daily operation of the program to perform the monitoring. The employee or contractor may be chosen based on its technical knowledge of the program but would not be associated with its daily operation. Furthermore, any EPP staff cannot participate on the monitoring procedure in which the monitor or any member of his immediate family is a member of the board of Directors, official or employee or have other indirect interest in the organization or program to be monitored. Due to the scale of this year program only one on-site audit review would be performed during this year's funding cycle. The on-site annual review will verify compliance with all program rules, energy audit procedures, crew operations, client interaction, and data collection and reporting.

Production Monitoring

- The grantee will contract external WAP previously certified inspectors to inspect 100% of the weatherized units. The Grantee's field staff of one technician would monitor 10% of the 100 % weatherized units inspected by the contracted field inspectors on a weekly basis. This 10% includes units in progress beyond the 5% of completed units in order to assess quality and compliance issues, materials, appropriateness and accuracy of energy audits etc as per weatherization program notice 16-4. The Grantee's field staff personnel utilized for the 10 % monitor inspections would not be associated with the daily operation of the WAP.

Please Refer to Attachment "WAP Program Monitoring Summary-PY 2019" for more information.

**V.8.4 Training and Technical Assistance Approach and Activities**

The Training and Technical Assistance (T&TA) Plan activities are intended to maintain or increase the efficiency, quality, and effectiveness of WAP at all levels. We would contract auditors and inspector that were already certified under the previous WAP ARRA and WAP Regular Phase program funding cycle. In the case of the General and Solar Water Heater Contractor, we also recommend to contract contractors that participated in the previous program. As such, only additional refresh training will be provided to those selected to ensure that required skills and knowledge are maintained to comply with the quality requirements of the weatherization program of all contracted personnel and staff employees. Refresh trainings will be held with different approaches and scope depending on the audience responsibilities within the program. A portion of the refresh training will cover aspects of the programs that have changed such as: rules, policies regulations, procedures, reports and new forms. Other potential training sections will be aimed to refresh technical aspects to the previous weatherization program certified personnel with emphasis in new health and safety issues in accordance with the Health and Safety Plan. In addition these refresh training would reflect the lessons learned from previous year's implementation and any DOE project Officer monitoring visits feedback, internal audits and grantee field monitoring findings etc.

Trainings will be performed before all weatherization work starts and will be mandatory to all grantee staff and contracted employees that will perform any work related to the weatherization program. Grantee staff employees or contractors that do not attend these training will not be allowed to participate in the weatherization program. Regarding the training activities to execute the grantee Health and Safety (H&S) plan, we are considering the contracting of a safety and Industrial hygiene and environmental consultant with broad industrial exposure to train all necessary personnel participating in the weatherization program in all aspects addressed by the H&S Plan. Client education will be performed during the audits visits by auditors including brochures as established in form AF-1 (Auditor Report). Furthermore if as a result of project's monitoring, repetitive deficiencies are observed, on the job training and/or special communications notices may be required or issued to address these situations.

Please Refer to the "WAP Training Plan 2022" attached in SF 424 for more information.

Percent of overall trainings

Comprehensive Trainings: 0

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

Specific Trainings:

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

**V.9 Energy Crisis and Disaster Plan**

In an Emergency Crisis, the agency must follow the Energy Affairs Administration Emergency Operational Plan: Multi Risk Plan (Plan Operacional de Emergencia: Plan Multirriesgo de la Oficina Estatal de Política Pública Energética). This plan is currently under revision and waiting executive approval. The plan has been prepared in accordance to the established guides of the Department of Homeland Security, FEMA, with the collaboration of the State Agency for the Emergency Management. The primary purpose of the plan is to protect life and property of risks and dangers to our population and/or employee in an emergency event. For this reason, this emergency plan is effective under Act No. 73 of May 28, 2008, Act No. 128 of June 29, 1977, as amended, Act No. 211 of 2 August 1999, Executive Order of December 28, 1993 (Administrative Bulletin No. OE 1993-1957) and Executive Order of June 25, 2001 (OE Administrative Bulletin No. 2001-26).

In the event of a crisis, many agencies participate in closed coordination to assist in such event. The Emergency Operation Centers (EOC's) is the location in which coordination of information and resources to support in the prompt solution of domestic incidents takes place. EPP is part of the emergency response group and therefore could provide technical assistance, recovery and clean-up efforts, crisis management and other assistance as required by the type of incident. DOE funding will not be used to pay for weatherization personnel to perform relief work in the community as a result of a crisis or emergency. As stated in the WPN 12-07 "The use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials." Therefore DOE funds used to address disaster related hazard will be limited to those established in the Weatherization Program Notice 12-07.

During the emergency, agencies will be required to report activities performed and shall coordinate their efforts with other disaster assistance programs, such as FEMA, in order to provide assistance to the community. The WAP program manager will submit to the DOE a report of activities performed or suspended during the emergency crisis. Only activities related to the WAP program will be included in the report.

Eligible household located in the disaster area or that have been directly affected by the crisis, and with damages that could impact weatherization measure implementation and costs would be deferred until damages have been addressed. All work completed during disaster periods shall conform to the Puerto Rico Weatherization Program standards.

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

(Grant Number: EE0009928, State: PR, Program Year: 2022)

**IV.1 Subgrantees**

| Subgrantee (City)                        | Planned Funds/Units               |
|------------------------------------------|-----------------------------------|
| State Office of Energy Policy (San Juan) | \$911,070.00<br>114               |
| <b>Total:</b>                            | <b>\$911,070.00</b><br><b>114</b> |

**IV.2 WAP Production Schedule**

Planned units by quarter or category are no longer required, no information required for persons.

|                                       |                                         |
|---------------------------------------|-----------------------------------------|
| Weatherization Plans                  | Units                                   |
| Total Units (excluding reweatherized) | <input type="text" value="114"/><br>114 |
| Reweatherized Units                   | <input type="text" value="0"/><br>0     |

Average Unit Costs, Units subject to DOE Project Rules

**VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)**

|                                                                           |        |
|---------------------------------------------------------------------------|--------|
| A Total Vehicles & Equipment (\$5,000 or more) Budget                     | \$0.00 |
| B Total Units Weatherized                                                 | 114    |
| C Total Units Reweatherized                                               | 0      |
| D Total Dwelling Units to be Weatherized and Reweatherized (B + C)        | 114    |
| 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                                     | \$753,716.00 |
| G Total Dwelling Units to be Weatherized and Reweatherized (from line D) | 114          |
| H Average Program Operations Costs per Unit (F divided by G)             | \$6,611.54   |
| I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)   | \$0.00       |
| J Total Average Cost per Dwelling (H plus I)                             | \$6,611.54   |

**IV.3 Energy Savings**

|                                                                                                                                     |       |                            |                |
|-------------------------------------------------------------------------------------------------------------------------------------|-------|----------------------------|----------------|
| Method used to calculate savings: <input type="checkbox"/> WAP algorithm <input checked="" type="checkbox"/> Other (describe below) |       |                            |                |
|                                                                                                                                     | Units | Savings Calculator (MBtus) | Energy Savings |
| This Year Estimate                                                                                                                  | 114   | N/A                        | 795 *          |
| Prior Year Estimate                                                                                                                 | 253   | N/A                        | 1769 *         |
| Prior Year Actual                                                                                                                   | 97    | N/A                        | 0 *            |

\* Energy Savings values were manually entered.

**Method used to calculate savings description:**

The energy savings measurement number included on the application (2,377.4430.0 KWH equivalent to 8.1122 MBTU annually) was the "Actual Average Yearly Savings per Weatherized Unit as per Puerto Rico Energy Power Authority (PREPA) billing information)" from WAP 2021-2022. The method used to calculate savings was modified to "other" instead of WAP algorithm. This is necessary since the values of annual energy savings given by the WAP algorithm are too high for Puerto Rico. The method used for calculations was the estimated savings obtained from PREAT with the data collected in the audit visit.

**Average annual energy savings (KW-hr): 2,377.4430 /year = 8.1122 MBTU**

|  |       |                    |                |
|--|-------|--------------------|----------------|
|  | Units | Savings Calculator | Energy Savings |
|--|-------|--------------------|----------------|

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

(Grant Number: EE0009928, State: PR, Program Year: 2022)

|                     |     |         |          |
|---------------------|-----|---------|----------|
|                     |     | (MBtus) |          |
| This Year Estimate  | 98  | 8.112   | 794.976  |
| Prior Year Estimate | 253 | 10.463  | 2647.139 |
| Prior Year Actual   |     |         |          |

**IV.4 DOE-Funded Leveraging Activities**

PPPE does not expect to perform DOE-funded leveraging activities.

**IV.5 Policy Advisory Council Members**

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

|                                                        |                                                                                                                                                                                                                    |
|--------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Association of Renewable Energy Contractor Consultants | Type of organization:<br>Contact Name: Ing. Lourdes M. Marcano<br>Phone: 78777781052540<br>Email: <a href="mailto:l.marcano@gmail.com">l.marcano@gmail.com</a>                                                     |
| Department of the Family                               | Type of organization: Unit of State Government<br>Contact Name: Dr. Carmen A. González Magaz<br>Phone: 78729449001252<br>Email: <a href="mailto:c.gonzalezmagaz@familia.pr.gov">c.gonzalezmagaz@familia.pr.gov</a> |
| Office of the Advocate for Persons of Advanced Age     | Type of organization: Unit of State Government<br>Contact Name: Dr. Carmen Delia Sánchez<br>Phone: 7877216121<br>Email: <a href="mailto:csanchez@oppea.pr.gov">csanchez@oppea.pr.gov</a>                           |
| Office of the Advocate for Persons with Disabilities   | Type of organization: Unit of State Government<br>Contact Name: Sr. Gabriel Corchado Mendez<br>Phone: 7877252333<br>Email: <a href="mailto:gcorchado@dpi.pr.gov">gcorchado@dpi.pr.gov</a>                          |
| Permits Management Office                              | Type of organization: Unit of State Government<br>Contact Name: Ing. Gabriel Hernandez Rodriguez<br>Phone: 787721828216342<br>Email: <a href="mailto:eddi.garcia@familia.pr.gov">eddi.garcia@familia.pr.gov</a>    |

**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

04/23/2021 Pursuant to 10 CFR Part 440.14 (a), Puerto Rico celebrated a public hearing to receive comments on the proposed State Plan (PY) 2022. The public hearing for the WAP (PY) 2022 in Puerto Rico was held on April 22, 2022 at 10:00 am in the 355 F.D. Roosevelt Ave. Hato Rey PR00918. PO Box 362350, San Juan PR 00936-2350. if you cannot attend in person, you can do it through the virtual platform using the following link: <https://bit.ly/2V8iUr0>. The public hearing announcement was published in the following newspaper: "El Nuevo Día de Puerto Rico" on April 6, 2022, sixteen (16) days prior to the public hearing. Copy of the proposed State Plan was available during workable hours from 8:00am to 6:00pm at the physical offices of the EPP, located at 355 F.D. Roosevelt Ave, Hato Rey or access to the web page: <https://ddec.pr.gov/programa-de-politica-publica-energetica>. The State Plan could also be requested by email at [wap@ddec.pr.gov](mailto:wap@ddec.pr.gov)

**IV.7 Miscellaneous**

**Clarification Note #1:** To differentiate the different task that will be conducted by the Public Energy Policy Program (PEPP), this program year, the PPPE will be referred as "Grantee" The PEPP, even though is performing a as Grantee, is the government entity (Direct Service Grantee).

**Clarification Note #2:**

**Recipient Business Officer: Francisco Berrios Portela**

Position: Executive Director

Email: [francisco.berrios@ddec.pr.gov](mailto:francisco.berrios@ddec.pr.gov)

Telephone Number: 787-765-2900 ext. 5631

Fax Number:

**Recipient Principal Investor: Juan Lamboy Arce**

Position: WAP Program Manager

Email: [juan.lamboy@ddec.pr.gov](mailto:juan.lamboy@ddec.pr.gov)

Telephone Number: 787-765-2900 ext. 5657

Fax Number:

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

**Clarification Note #3:** The objective of PEPP is to weatherize the most possible dwellings in a cost effective way to achieve the necessary economy of scale in the operational costs. Therefore, we will use any surplus amount of money, if any, in the weatherization of additional units.

**Clarification Note #4** Deferral Distribution

The client may meet the eligibility requirements but for other reasons the unit is not a good candidate for weatherization. Therefore, the unit may be deferred because of the following:

1. Condition of the structure (building integrity/inability to practically or effectively weatherize).
2. Area slated to be redeveloped (highway development, economic development, flood area).
3. Health and safety reasons that defer services such as infestation or mayor electrical deficiencies.
4. No communication or if by some reason the client could not be reached.

A letter will be sent to the client, explaining the reasons of the deferral and suggestions of what the client needs to do in order for our agency to consider the weatherization of the unit. In the cases of the clients that could not be reached, a deadline for them to communicate with the agency will be established on the letter. If the client fail to communicate within the given time, the case will be close and another eligible person will be considered. The timing given will be monitored by the program Work Order Management System (WOMS) that will provide us with a alarm when the timing has concluded.

The following is more information on the Deferral Policy:

**Deferral Policy (Provide a detailed narrative of the grantees overall deferral policy):**

Agency shall utilize the Weatherization Deferral/Referral Notice to provide written notice to clients in dwellings where problems exist that are outside the scope of Weatherization.

As notified in the PR Standard and Field Guide Part 1\_Section 2.9-Deferral Situations,  
Some of the more common deferral situation includes:

1. The client has known health conditions that prohibit the installation of any equipment and other weatherization measures.
2. The dwelling structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
3. The house has sewage or other sanitary problems, such as animal feces, that would further endanger the client and weatherization staff.
4. Extensive moisture/ mildew problems are severe and cannot be resolved under existing health and safety measures and with minor repairs.
5. The client is hostile, uncooperative, abusive, or threatening to the program staff, auditors, or crew that must work on or visit the dwelling unit.
6. The extent and condition of lead based paint in the house would potentially create further health and safety hazards.
7. Improperly stored chemicals, combustible materials, or other fire hazards that present a danger to the occupants or the workers.
8. Major remodeling is in progress, which limits the proper completion of major weatherization measures.
9. Illegal activities are being conducted in the dwelling unit.
10. Unrestrained aggressive pets that can threaten the safety of the weatherization staff.

Steps to follow after the house is declared a deferral:

1. Contact the client and inform why the home was declared deferral.
2. The client is told that they have to resolve the situation and our contact information is provided.
3. The client is informed that they should contact the office if the situation for which the house was declared deferral is solved, so we can continue with the weatherization.
  - If the client contacts the office informing that he solved the problem, proceed as follows:
  - A technician coordinator visits the home to verify that the situation was corrected, if the situation is corrected, the weatherization will continue.

**Priorities**

As notified in the Program Operation Manual Part 4.0 Weatherization Priority Population\_Section 4.1-Priority Classification,

**4.1 Definitions**

- Elderly – Person age sixty (60) or older.
- Children – Persons under the age of six (6).
- Hight residencial energy users
- Household with a high energy burden; and
- Persons with Disabilities means any individual:
  1. Who is a handicapped individual as defined in section 7(6) of the Rehabilitation Act of 1973, that is:
  2. Who is under a disability as defined in section 1614(a)(3)(A) or 223(d)(1) of the Social Security Act or in section 102(7) of the Developmental Disabilities Services and Facilities Construction Act, or
  3. Who is receiving benefits under chapter 11 or 15 of title 38, U.S.C.
- Cited sections from the Regulations listed above can be found in APPENDIX B – DEFINITIONS OF DISABILITY for reference.

**4.2 Priority Ranking System**

An applicant priority ranking system will be used to identify and prioritize services to households. The system will award points to applicants whose households contain one or more of the following

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

priority persons: children, disabled, and/or elderly.

The total number of points will be based on the information provided in the application. Households classified as eligible will become part of a list organized in order of highest to lowest points that will be used to select the next house to be weatherized. Eligible households with the highest number of points will be the first to receive weatherization services. Priority points will not be a factor in the determination of eligibility of a household.

**WFR Activity Monitoring:**

The overall objective of this monitoring is to familiarize the monitors and the PEPP personnel with the most significant requirements of the DOE programs and assist them with the compliance with those requirements.

**Goals of Monitoring**

The Puerto Rico Weatherization Assistance Program goals for WRF monitoring activities include:

1. Analyzing whether best possible program services are being delivered to the deferral unit.
2. Determining program compliance and accountability.
3. Analyzing program performance.
4. Analyzing quality and effectiveness of the work on completed dwellings.
5. Being an advocate for program improvement.
6. Identifying problems, deficiencies, and areas that need improvement.
7. Assisting agencies in their program operations and compliance with DOE and State regulations.
8. Advising agencies on how to correct any weaknesses and deficiencies.
9. Assessing the need for training and technical assistance to improve local agency service delivery, cost-effectiveness, and accountability.
10. Determining ways that monitoring activities can be improved.

**Monitoring Process:**

The WAP will be variety of mechanism to determine compliance with the requirements of Deferral process.

**Desk Monitoring:**

Desk monitoring is an essential part of the ongoing monitoring process when performed regularly for all projects. As part of this procedure the monitor reviews any deficiencies in reporting such as delinquent reports, and if any error or inconsistency is detected, the monitor should contact the Program Manager for clarification.

Where discrepancies exist between planned activities and actual accomplishments reported, the Monitor will conduct follow-up with the Grantee (PEPP) to determine cause and future actions to correct the discrepancy.

The Agency will be notified in advance of any desk-reviews to be performed by a project monitor. The monitor may request evidentiary documents including receipts, invoices, time sheets, photographs, monthly reports and others relevant material for purposes of this view.

During the desk-review, the monitors will complete a Checklist for Desk-Review, which consist of various questions covering all performance indicators (Budget, Schedule, Scope and Compliance). After the Checklist is completed, the monitor will make notes of any issues identified, recommendations, and required corrective actions.

**Fiscal Monitoring:**

Weatherization Fiscal Monitoring will typically occur during the PEPP program monitoring. The fiscal monitoring will be conducted by the PEPP Fiscal Monitor. During the visit, the fiscal monitor will review all of the fiscal operations of all deferral unit being impacted by the program WAP. Activities of the fiscal monitoring at local agencies will include:

1. Review financial records.
2. Review purchasing and bidding practices.
3. Review travel records.
4. Review vendor payments.

On site visit:

Monitors should conduct on site monitoring at least annually for 5-10% of their high priority projects. The timing of on-site monitoring is important. Site visits should be conducted early enough so that the project can benefit from any changes implemented and late enough so that there is activity to measure.

During the monitoring visit, the auditor will complete a Checklist for On-site Monitoring Visit, which consists of various questions covering all performance indicators (Budget, Schedule, Scope and Compliance). After the checklist is completed, the monitor will make notes of any issues identified, recommendations, and required corrective actions. The Checklist will them be included as part of a Monitoring Report that the monitor will submit to the program WAP.

**Adjusted Average Cost per Dwelling Unit (ACPU)**

Every year Puerto Rico WAP has an average of 14 units that are determined to be deferral. Based on that calculation, the average ACPU per unit will be \$6,490.

**Clarification Note No. 5: Weatherization Readiness Fund (WPN 22-6)**

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

**(Grant Number: EE0009928, State: PR, Program Year: 2022)**

The purpose for Weatherization Readiness Fund (WRF) is to reduce the frequency of deferred homes that require services that are outside the scope of weatherization before the weatherization services can commence. WRF will bring the dwelling into weatherization readiness by addressing structural and health and safety issues.

The grantee must conduct a thorough inspection of the dwelling to identify all deferral issues to avoid multiple deferrals. The grantee will prioritize households for WRF based on the complexity of the fix, the cost related to the issue, and must not pose significant threat, endangerment, or create a significant health concern.

The nature of the repairs may fall under the following categories:

- Roof Repair
- Wall Repair (Interior or Exterior)
- Ceiling repair
- Floor Repair
- Exterior drainage repairs (e.g. gutters)
- Plumbing repairs
- Electrical repairs
- Cleanup or remediation beyond typical scope of WAP
  - Lead Paint
  - Asbestos (Confirmed or suspected, including vermiculite), mold and/or moisture
  - Debris
  - Pests or feces removal
- Any other possible issue or repair not mentioned above will require the Subgrantee to obtain permission from Grantee prior to utilizing the WRF.

**Restrictions**

WRF will not be utilized for homes that exhibit dangerous conditions that may pose a significant threat, endangerment, or can create a significant health concern to the Subgrantee's staff, contractors, and/or crews.

**Monitoring**

The WRF will be monitored through the monthly reimbursement process. Subgrantees will be required to indicate and identify the homes where WRF was utilized on their Financial Activity. The WRF ACPU will also be monitored at that time. Additionally, the WRF will be monitored during yearly remote and onsite monitoring. The Subgrantee will be responsible for producing documentation (e.g. invoices, etc.) to corroborate the expenditures for the purpose of making the dwelling weatherization ready.

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: PR Grant Number: EE0009928 Program Year: 2022

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Name: **State Office of Energy Policy**

Contact: Juan Lamboy

UEI: HHFQLX1DPWM7

DUNS: 0788313390000

Address: P.O. Box 192159

Phone: (787) 765-29005657

San Juan, PR 00919-2159

Fax: () -

Email: j.lamboy@ddec.pr.gov

Counties served: SAN JUAN Municipio

Tentative allocation: \$ 911,070.00

Congressional

CD

Planned units: 114

districts served:

PR-Statewide

Type of organization:

Source of labor: Agency and Contractors

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**BUDGET INFORMATION - Non-Construction Programs**

|                                                                                                                       |                                             |                                                               |  |
|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------|--|
| 1. Program/Project Identification No.<br>EE0009928                                                                    |                                             | 2. Program/Project Title<br>Weatherization Assistance Program |  |
| 3. Name and Address<br>Department of Economical Development and Commerce<br>P.O. Box 362350<br>San Juan, PR 009362350 | 4. Program/Project Start Date<br>07/01/2022 |                                                               |  |
|                                                                                                                       | 5. Completion Date<br>06/30/2023            |                                                               |  |

**SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function or<br>Activity<br>(a) | Federal<br>Catalog No.<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                 |
|-------------------------------------------------|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-----------------|
|                                                 |                               | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)    |
| 1. DOE 2022 & 2023<br>WAP Formula Funds         | 81.042                        | \$ 0.00                     |                    | \$ 1,235,088.00       |                    | \$ 1,235,088.00 |
| 2.                                              |                               |                             |                    |                       |                    |                 |
| 3.                                              |                               |                             |                    |                       |                    |                 |
| 4.                                              |                               |                             |                    |                       |                    |                 |
| 5. TOTAL                                        |                               | \$ 0.00                     | \$ 0.00            | \$ 1,235,088.00       | \$ 0.00            | \$ 1,235,088.00 |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories | Grant Program, Function or Activity |                     |                           |                          | Total<br>(5)    |
|----------------------------|-------------------------------------|---------------------|---------------------------|--------------------------|-----------------|
|                            | (1) GRANTEE<br>ADMINISTRA<br>TION   | (2) GRANTEE<br>T&TA | (3) PROGRAM<br>OPERATIONS | (4) HEALTH<br>AND SAFETY |                 |
| a. Personnel               | \$ 60,000.00                        | \$ 0.00             | \$ 192,000.00             | \$ 0.00                  | \$ 252,000.00   |
| b. Fringe Benefits         | \$ 10,204.00                        | \$ 0.00             | \$ 38,252.00              | \$ 0.00                  | \$ 48,456.00    |
| c. Travel                  | \$ 3,000.00                         | \$ 10,171.00        | \$ 0.00                   | \$ 0.00                  | \$ 13,171.00    |
| d. Equipment               | \$ 0.00                             | \$ 0.00             | \$ 0.00                   | \$ 0.00                  | \$ 0.00         |
| e. Supplies                | \$ 4,000.00                         | \$ 3,927.00         | \$ 7,070.00               | \$ 0.00                  | \$ 14,997.00    |
| f. Contract                | \$ 11,040.00                        | \$ 199,437.00       | \$ 516,394.00             | \$ 60,000.00             | \$ 884,225.00   |
| g. Construction            | \$ 0.00                             | \$ 0.00             | \$ 0.00                   | \$ 0.00                  | \$ 0.00         |
| h. Other Direct Costs      | \$ 4,387.00                         | \$ 17,852.00        | \$ 0.00                   | \$ 0.00                  | \$ 22,239.00    |
| i. Total Direct Charges    | \$ 92,631.00                        | \$ 231,387.00       | \$ 753,716.00             | \$ 60,000.00             | \$ 1,235,088.00 |
| j. Indirect Costs          | \$ 0.00                             | \$ 0.00             | \$ 0.00                   | \$ 0.00                  | \$ 0.00         |
| k. Totals                  | \$ 92,631.00                        | \$ 231,387.00       | \$ 753,716.00             | \$ 60,000.00             | \$ 1,235,088.00 |
| 7. Program Income          | \$ 0.00                             | \$ 0.00             | \$ 0.00                   | \$ 0.00                  | \$ 0.00         |

**BUDGET INFORMATION - Non-Construction Programs**

|                                                                                                                       |                                             |                                                               |  |
|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------|--|
| 1. Program/Project Identification No.<br>EE0009928                                                                    |                                             | 2. Program/Project Title<br>Weatherization Assistance Program |  |
| 3. Name and Address<br>Department of Economical Development and Commerce<br>P.O. Box 362350<br>San Juan, PR 009362350 | 4. Program/Project Start Date<br>07/01/2022 |                                                               |  |
|                                                                                                                       | 5. Completion Date<br>06/30/2023            |                                                               |  |

| SECTION A - BUDGET SUMMARY                      |                               |                             |                    |                       |                    |                 |
|-------------------------------------------------|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-----------------|
| Grant Program<br>Function or<br>Activity<br>(a) | Federal<br>Catalog No.<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                 |
|                                                 |                               | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)    |
| 1.                                              |                               |                             |                    |                       |                    |                 |
| 2.                                              |                               |                             |                    |                       |                    |                 |
| 3.                                              |                               |                             |                    |                       |                    |                 |
| 4.                                              |                               |                             |                    |                       |                    |                 |
| 5. TOTAL                                        |                               | \$ 0.00                     | \$ 0.00            | \$ 1,235,088.00       | \$ 0.00            | \$ 1,235,088.00 |

| SECTION B - BUDGET CATEGORIES |                                     |                                 |     |     |                 |  |
|-------------------------------|-------------------------------------|---------------------------------|-----|-----|-----------------|--|
| 6. Object Class Categories    | Grant Program, Function or Activity |                                 |     |     | Total<br>(5)    |  |
|                               | (1) LIABILITY<br>INSURANCE          | (2) Weatherization<br>Readiness | (3) | (4) |                 |  |
| a. Personnel                  | \$ 0.00                             | \$ 0.00                         |     |     | \$ 252,000.00   |  |
| b. Fringe Benefits            | \$ 0.00                             | \$ 0.00                         |     |     | \$ 48,456.00    |  |
| c. Travel                     | \$ 0.00                             | \$ 0.00                         |     |     | \$ 13,171.00    |  |
| d. Equipment                  | \$ 0.00                             | \$ 0.00                         |     |     | \$ 0.00         |  |
| e. Supplies                   | \$ 0.00                             | \$ 0.00                         |     |     | \$ 14,997.00    |  |
| f. Contract                   | \$ 0.00                             | \$ 97,354.00                    |     |     | \$ 884,225.00   |  |
| g. Construction               | \$ 0.00                             | \$ 0.00                         |     |     | \$ 0.00         |  |
| h. Other Direct Costs         | \$ 0.00                             | \$ 0.00                         |     |     | \$ 22,239.00    |  |
| i. Total Direct Charges       | \$ 0.00                             | \$ 97,354.00                    |     |     | \$ 1,235,088.00 |  |
| j. Indirect Costs             | \$ 0.00                             | \$ 0.00                         |     |     | \$ 0.00         |  |
| k. Totals                     | \$ 0.00                             | \$ 97,354.00                    |     |     | \$ 1,235,088.00 |  |
| 7. Program Income             | \$ 0.00                             | \$ 0.00                         |     |     | \$ 0.00         |  |