

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007957		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Washington 1011 Plum Street SE Olympia, WA 985042525	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	\$ 4,118,351.00		\$ 5,648,547.00		\$ 9,766,898.00
2.						
3.						
4.						
5. TOTAL		\$ 4,118,351.00	\$ 0.00	\$ 5,648,547.00	\$ 0.00	\$ 9,766,898.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 156,992.00	\$ 0.00	\$ 351,094.00	\$ 0.00	\$ 508,086.00
b. Fringe Benefits	\$ 58,701.00	\$ 0.00	\$ 130,498.00	\$ 0.00	\$ 189,199.00
c. Travel	\$ 4,800.00	\$ 0.00	\$ 19,825.00	\$ 0.00	\$ 24,625.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 8,693.00	\$ 0.00	\$ 24,197.00	\$ 0.00	\$ 32,890.00
f. Contract	\$ 0.00	\$ 1,278,612.00	\$ 710,373.00	\$ 178,488.00	\$ 8,683,728.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 41,784.00	\$ 0.00	\$ 49,509.00	\$ 0.00	\$ 91,293.00
i. Total Direct Charges	\$ 270,970.00	\$ 1,278,612.00	\$ 1,285,496.00	\$ 178,488.00	\$ 9,529,821.00
j. Indirect Costs	\$ 73,335.00	\$ 0.00	\$ 163,742.00	\$ 0.00	\$ 237,077.00
k. Totals	\$ 344,305.00	\$ 1,278,612.00	\$ 1,449,238.00	\$ 178,488.00	\$ 9,766,898.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007957		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Washington 1011 Plum Street SE Olympia, WA 985042525	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		\$ 4,118,351.00	\$ 0.00	\$ 5,648,547.00	\$ 0.00	\$ 9,766,898.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) LEVERAGING	(3) HEALTH AND SAFETY	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 508,086.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 189,199.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 24,625.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 32,890.00
f. Contract	\$ 5,467,897.00	\$ 167,466.00	\$ 880,892.00		\$ 8,683,728.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 91,293.00
i. Total Direct Charges	\$ 5,467,897.00	\$ 167,466.00	\$ 880,892.00		\$ 9,529,821.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 237,077.00
k. Totals	\$ 5,467,897.00	\$ 167,466.00	\$ 880,892.00		\$ 9,766,898.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Benton-Franklin Community Action Council (Pasco)	\$161,033.00 14
Blue Mountain Action Council (Walla Walla)	\$62,346.00 5
Chelan-Douglas Community Action Council (Wenatchee)	\$71,986.00 6
City of Seattle, Office of Housing - HomeWise Program (Seattle)	\$2,135,750.00 199
Clark County Community Services Department (Vancouver)	\$218,563.00 20
Coastal Community Action Program (Aberdeen)	\$80,983.00 7
Community Action Center (Pullman)	\$73,075.00 6
Community Action Council of Lewis, Mason &.... (Lacey)	\$281,068.00 25
Community Action Partnership (Lewiston)	\$17,754.00 2
HopeSource (Ellensburg)	\$55,665.00 5
Housing Authority of Skagit County (Burlington)	\$77,824.00 7
King County Housing Authority (Tukwila)	\$2,269,623.00 212
Kitsap Community Resources (Bremerton)	\$130,762.00 12
Lower Columbia Community Action Council (Longview)	\$91,221.00 8
Metropolitan Development Council (Tacoma)	\$164,386.00 15
Okanogan County Community Action Council (Okanogan)	\$49,052.00 4
Olympic Community Action Programs (Port Townsend)	\$78,049.00 7
Opportunities Industrialization Center of Washington (Yakima)	\$202,567.00 18
Opportunity Council (Bellingham)	\$219,222.00 19
Pierce County (Tacoma)	\$291,114.00 26
Rural Resources Community Action (Colville)	\$75,126.00 6
Snohomish County (Everett)	\$311,430.00 28
South Puget Intertribal Planning Agency (Shelton)	\$21,036.00 2
Spokane Indian Housing Authority (Wellpinit)	\$71,872.00 7

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Spokane Neighborhood Action Partners (Spokane)	\$401,218.00 37
Yakama Nation Housing Authority (Wapato)	\$82,390.00 8
Yakima Valley Farm Workers Clinic (Toppenish)	\$110,774.00 9
Total:	\$7,805,889.00 714

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)

714
714

Reweatherized Units

0
0

Average Unit Costs, Units subject to DOE Project Rules

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

A Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
---	--------

B Total Units Weatherized	714
---------------------------	-----

C Total Units Reweatherized	0
-----------------------------	---

D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	714
--	-----

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	\$5,467,897.00
--------------------------------------	----------------

G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	714
--	-----

H Average Program Operations Costs per Unit (F divided by G)	\$7,658.12
--	------------

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

J Total Average Cost per Dwelling (H plus I)	\$7,658.12
--	------------

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	714	29.3	20920
Prior Year Estimate	922	29.3	27015
Prior Year Actual	1121	29.3	32845

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

DOE Funded Leveraging Activities

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Commerce will apply \$94,273 of 2021 DOE Weatherization Assistance Program funds to co-sponsor The Energy Project. \$73,193 in 2020 carry over funds will also be applied to provide additional legal, and or technical support to The Energy Project.

The Energy Project serves the entire Washington weatherization network and has served as a model leveraging project for other states. The Opportunity Council in Bellingham serves as the administrative agent under an agreement with the Washington State Community Action Partnership (WSCAP). The Energy Project's activities have resulted in approximately \$8 million of additional low-income weatherization funding for low-income households during the most recent 12-month reporting period.

The Energy Project will continue to work with current and potential allies to advocate for energy program funding and program designs that help low-income households afford their home energy services. This will include providing technical assistance to local agencies, negotiating programs with local utilities in coordination with the pertinent agencies, educating decision makers, evaluating and reporting progress, researching new approaches and best practices for providing service, consulting with national experts, and managing project resources in an effort to expand the resources available to and the effectiveness of program designs to improve the energy efficiency of low-income homes. The Energy Project director will maintain working relationships with key people in other states throughout the DOE network.

Technical assistance will be provided to all agencies regarding developments that will affect them universally. In addition, those agencies directly involved in a utility strategy will be consulted and kept informed regarding developments with the utilities in whose service territory they operate. These include all three electric Investor Owned Utilities (Avista – six agencies; PacifiCorp – three agencies; Puget Sound Energy - ten agencies), Cascade Natural Gas (eight agencies, though some have very little gas activity), Northwest Natural [Gas] (primarily one agency), and BPA (twenty-four agencies). In addition to our efforts at the Utilities and Transportation Commission and the Bonneville Power Administration, the Energy Project will work with interested local agencies to create a funding relationship with their smaller consumer-owned utilities.

In addition to protecting existing leveraged funds for energy efficiency work and expanding that funding, Energy Project staff will continue to seek companion funding to support the repair and/or health and safety work that is critical to installing energy measures in low-income homes. It will also continue its broad public educational efforts and direct technical assistance to local agency personnel. Particular areas of attention will be:

- the evaluation, measurement and verification of low-income and other utility-funded energy efficiency programs;
- the application of cost tests to low-income energy efficiency programs;
- implementing innovations such as decoupling or smart grid such that low-income households benefit, or at least are not harmed;
- monitoring utility performance in response to the Washington' renewable energy and energy efficiency portfolio standards;
- monitoring and participating in energy conservation program tariff filings;
- working to establish stable, multi-year utility funding arrangements;
- effective intervention in any utility rate cases filed with the Washington Utilities and Transportation Commission; and
- increasing the support of low-income energy efficiency by consumer-owned utility customers of the Bonneville Power Administration.

IV.5 Policy Advisory Council Members

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

Avista (Washington Water Power)	Type of organization: Utility Contact Name: Renee Coelho Phone: 5094958607 Email: renee.coelho@avistacorp.com
CAC of Lewis, Mason, and Thurston Counties	Type of organization: Non-profit (not a financial institution) Contact Name: Brian Sanda Phone: 3604381100 Email: brians@caclmt.org
Cascade Natural Gas	Type of organization: Contact Name: Alyn Spector Phone: 3607882356 Email: alyn.spector@cngc.com
City of Seattle	Type of organization: Unit of Local Government Contact Name: Bobby Lindsay, Weatherization Program Manager Phone: 2066840241

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

HopeSource	Email: bobby.lindsay@seattle.gov Type of organization: Non-profit (not a financial institution) Contact Name: Andrew Lyons, Wx/Energy Program Manager Phone: 3609251448 Email: alyons@hopesource.us
Northwest Energy Coalition	Type of organization: Other Contact Name: Amy Wheelless Phone: 2066210094 Email: amy@nwenergy.org
Northwest Justice Project	Type of organization: Non-profit (not a financial institution) Contact Name: Meredith Bruch Phone: 5095744238 Email: meredithb@nwjustice.org
Opportunity Council	Type of organization: Non-profit (not a financial institution) Contact Name: Ross Quigley, Wx & Home Repair Manager Phone: 3607345121103 Email: ross_quigley@oppco.org
PacifiCorp	Type of organization: Utility Contact Name: Charity Spires Phone: 5038135154 Email: charity.spires@pacificorp.com
Puget Sound Energy	Type of organization: Utility Contact Name: Sandra Sieg Phone: 4254246607 Email: sandra.sieg@pse.com
Spokane Indian Housing Authority	Type of organization: Indian Tribe Contact Name: Stephen Tsoodle, Weatherization Program Manager Phone: 5092584523 Email: stephen@spokaneiha.com
The Opportunity Council-The Energy Project	Type of organization: Non-profit (not a financial institution) Contact Name: Shawn Collins Phone: 3607345121334 Email: shawn_collins@oppco.org
Washington State Community Action Partnership	Type of organization: Non-profit (not a financial institution) Contact Name: Jeff DeLuca, Executive Director Phone: 3608888033 Email: jeff@wapartnership.org
Washington State Department of Commerce	Type of organization: Unit of State Government Contact Name: Luke Howard Phone: 3607424386 Email: luke.howard@commerce.wa.gov
Washington State Department of Commerce	Type of organization: Unit of State Government Contact Name: Amanda Rains Phone: 3605220898 Email: amanda.rains@commerce.wa.gov
Washington State Executive Directors	Type of organization: Non-profit (not a financial institution) Contact Name: Jeff Guyett Phone: 5093349147 Email: jeffg@cacwhitman.org
Washington State Independent Living Council	Type of organization: Unit of State Government Contact Name: Kimberly Conner Phone: 3607253695 Email: connekb@dshs.wa.gov

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

04/05/2021 The Notice of Public Hearing was published in the Legal Notices Section of three major newspapers covering Washington State: The Seattle Times, Spokesman Review, and Yakima Herald the week of March 22nd 2021. The Washington State Department of Commerce (Commerce) will conduct a

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

virtual public hearing to receive comments on the Draft 2021 United States Department of Energy/Washington State Low-Income Weatherization Assistance Plan. All are welcome and encouraged to attend. The hearing will be held Tuesday, April 5th, 2021, 1:00 - 2:00pm Pacific Standard Time (PST). If you wish to attend or would like a copy of the Draft you can find it on our website at, <https://www.commerce.wa.gov/growing-the-economy/energy/weatherization-and-energy-efficiency/> Commerce requests that persons presenting oral testimony provide a hard copy of their comments at the conclusion of their testimony. Additional comments can be emailed to Seth Kolodziejski at seth.kolo@commerce.wa.gov. Comments must be received no later than April 5th, 2021 at 5:00pm PST. Contact Information: Phone (360) 688-8189 Email seth.kolo@commerce.wa.gov

IV.7 Miscellaneous

We are still awaiting the results of the most recent ANSI survey.

According to the last ACSI survey:

- We did drop in two areas but not a statistically significant amount (only two points and we remain well above the national score):
 - Partnerships (Nat'l: 64 WA: 68)
 - Training Provided by Third Parties (Nat'l score: 69 WA: 83)

We discussed these issues with our network at our last semi-annual meeting and also worked with our technical and program development committees to solicit further feedback. Our third-party training provider will continue to provide comprehensive training opportunities for our grantees and also administer our peer circuit rider initiative which provides additional training and support to agencies experiencing changes in key personnel by utilizing expertise from agencies in similar service territories.

We will also continue to strengthen our partnerships with other stakeholders, state agencies, and regulatory bodies to continue providing support to our grantees as necessary.

WA-COM will work diligently with BPC and/or third party training contractors to provide comprehensive, occupation targeted training, which follows a curriculum aligned with the JTA (Job Task Analysis) for that occupation. These trainings will be administered by, or in conjunction with, a training program accredited by a DOE approved accreditation organization for the specific JTA being taught. Comprehensive training to include but not limited to::

- Energy auditor
- Quality Control Inspector
- Crew Chief
- Retrofit Installer

Recipient Principal Investigator

Seth Kolodziejski
Department of Commerce
Energy Division
Housing Improvements and Preservation
1011 Plum Street SE
PO Box 42525
Olympia, WA 98504-2525
Phone: (360) 688-8189
Fax: (360) 586-0489
seth.kolo@commerce.wa.gov

Recipient Business Officer

Seth Kolodziejski

Department of Commerce
Energy Division
Housing Improvements and Preservation
1011 Plum Street SE
PO Box 42525
Olympia, WA 98504-2525
Phone: (360) 688-8189
Fax: (360) 586-0489
seth.kolo@commerce.wa.gov

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

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

(Grant Number: EE0007957, State: WA, 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

The Federal guidance for the Washington State Low-Income Weatherization Program Eligibility Guidelines is 200 percent of federally established poverty guidelines. It is acceptable to consider total household income at or below 200 percent Federal Poverty Level (FPL) or 60 percent State Median Income (SMI), whichever is greater.

[Effective Date: July 2016]

POLICY 1.1.1 Applying Income Eligibility Standards

1. **Using LIHEAP Income Eligibility Guidelines:** The Weatherization Program follows the Washington State Energy Assistance Program/Low-Income Home Energy Assistance Program (LIHEAP) income eligibility guidelines. See **LIHEAP Intake** link (above) for LIHEAP Policies:
 - a. **LIHEAP Policy 1.3.0, Determining Income Eligibility,** and
 - b. **LIHEAP Policy 1.3.1, Defining Types of Income, Exclusions and Deductions.**
2. **Considering Earned Income:** Local Agencies must account for all pay periods in the period used to establish eligibility, when considering earned income.
3. **Calculating Average Gross Income:** Local Agencies must consider average income reported by current members of the household. See **LIHEAP 1.3.0 (B), Average Gross Income Will Be Calculated.**
4. **Establishing Average Monthly Income:** Local Agencies must use any DSHS and SSA income documentation received by an applicant for the month prior to application to establish the average monthly income from the income source, unless the client indicates the income varied in amount over the period considered.
5. **Documenting Income Eligibility:** See **Policy 1.3.1, Documenting Eligibility.**

[Effective Date: February 14, 2019]

POLICY 1.1.2 DETERMINING INCOME ELIGIBLE CLIENTS

1. **Using LIHEAP Income Eligibility Guidelines:** Local agencies must follow the income eligibility guidelines for the Washington State Energy Assistance Program/Low-Income Home Energy Assistance Program (LIHEAP) to determine types of eligible income, how to document income, and other eligibility rules. For more information, see:
 - a. **Weatherization Income Eligibility Guidelines,**
 - b. **LIHEAP Intake** link (above),
 - c. **Policy 1.1.1, Applying Income Eligibility Standards,** and
 - d. **Policy 1.3.1, Documenting Income Eligibility.**
2. **Commerce Publishes Wx Income Eligibility Guidelines Annually:** Commerce uses federal poverty guidelines issued annually by the United States Department of Health and Human Services (HHS) to establish client eligibility for the Weatherization Program. See **Weatherization Income Eligibility Guidelines**
3. **Determining Eligibility:**
 - a. Local agencies must determine income eligibility of a household prior to providing weatherization services.
 - b. Each household member must submit source income documentation for the time period set.

Exceptions:

1. Children under nineteen years of age.
 2. Self-Certification. See **Exhibit 1.3.1D, Declaration of No Income.**
4. **Applying Eligible Income Guidelines Threshold:** To qualify as eligible clients, the income received by all household members must not exceed 200 percent of federal poverty guidelines or 60 percent of state median income, whichever is greater. See **Policy 1.2.1, Prioritizing Eligible Weatherization Clients** for priority.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Exceptions:

- a. For Wx projects using LIHEAP funding, income must not exceed 60 percent of state median income.
- b. Use only eligible household members in the household count to determine eligibility.
- 5. **Applying Income Exclusions:** See **LIHEAP Intake** link (above) for **LIHEAP Policy 1.3.1, Defining Types of Income, Exclusions and Deductions**.
 - a. For 125 percent poverty guidelines, all current income exclusions apply.
 - b. For 200 percent federal poverty guidelines and 60 percent of state median income, all income exclusions apply except:
 - 1. 20 percent allowance for wage earner.
 - 2. 10 percent retirement deduction.
 - 3. 10 percent deduction for unemployment benefits
- 6. **Determining Household Size and Citizenship Status:** Local Agencies shall determine the citizenship status of each household member in a single family dwelling receiving Federal Public Benefit. Per 62 FR 61344-61416, an eligible household member shall be a U.S. citizen or qualified alien. Each eligible household member's citizenship status shall be documented. See **Policy 1.3.1, Documenting Income Eligibility** for documentation requirements.

Exceptions:

- a. Children under the age of 1 are exempt from qualified alien status verification.
 - b. Local agencies that are nonprofit charitable organizations and have completed the eligibility criteria opt out process and have a contractual agreement with Commerce for Weatherization Services. These entities are not required to determine, verify, or otherwise require proof of an applicant's eligibility based on the applicant's status as a U.S. citizen, U.S. non-citizen national or qualified alien. (62FR 61345 D). According to HHS guidance, if those exempt entities decide not to perform that eligibility determination then the State is responsible to perform it on their behalf.
 - c. Local Agencies do not need to verify alienage or citizenship of any of the multifamily building residents, since federal funds for weatherization of a multi-unit building (more than one dwelling unit) are not considered a Federal Public Benefit.
- 7. Setting Time Period to Document Household Income:** Local Agencies shall set a period of time used to document the household's income. They may use either three (3) or 12 months prior to the date of application.
- a. When three months of income are used, it will be converted to an estimated annual wage by multiplying the most recent three months of income by four.
 - b. If the household is determined to be ineligible based on the average income for three months, the applicant shall be notified that 12 months of documentation may be provided to re-determine eligibility.

[Effective Date: February 14, 2019]

POLICY 1.3.1 DOCUMENTING ELIGIBILITY

- 1. **Documenting Income Eligibility:** Client file must contain income eligibility documentation. These documents can be stored electronically or retained in hard copy for each client.
 - a. Types of required documentation:
 - 1. **Source Documentation:** Clear copies of income documents.
 - 2. **Verification:** Signed and dated statement by local agencies that the document was seen. See **Exhibit 1.3.1A, Income and Residence Verification Checklist**. Local agencies may use this exhibit or equivalent documentation to record the "I saw" verification of client status, income, and residence.
 - 3. **Availability of Supporting Documentation:** For purposes of review and audit, each client file must contain:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- a. **Application:** The client application with the required demographics and income from the entire family living in the residence;
 - b. **Eligibility Evidence:** Evidence the client is eligible to receive Wx Services, including but not limited to: a memorandum from a third party certification office stipulating the income levels of the family; or source documentation for each income source listed on the application.
4. **Multi-family buildings:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multi-family buildings. When centralized records are available, they may substitute for individual Household Information Forms.
- b. **Applying for EA and Wx:** For households applying to both the Energy Assistance and Weatherization programs, local agencies must follow applicant file and verification procedures defined by the Washington State Energy Assistance Program/LIHEAP. See **LIHEAP Intake** and **LIHEAP Forms** links above. At a minimum, the documentation in Wx client file must include all of the following:
1. **Application:** LIHEAP's *Household Information Form (HIF)*, **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information
 2. **Eligibility Evidence:**
 - a. **Eligibility Determined by Outside Agency/Program:** If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD building list, will suffice as evidence of client eligibility;
 - b. **Source Documentation;** or
 - c. **Verification:** The Local Agency Representative must review and verify client's income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation and
- c. **Applying for Wx only:** For households applying only for Weatherization, local agencies must collect and document the information included in the client file:
1. **Application:** LIHEAP's *Household Information Form (HIF)*, **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information
 2. **Income calculation:** LIHEAP **Exhibit 1.1.1(B), Household Income Information Form, Exhibit 1.3.1C, Household Member & Income Information Form**, or equivalent documentation.
 3. **Eligibility Evidence:**
 - a. **Eligibility Determined by Weatherization Program:** If income eligibility is determined by the Weatherization program, any document used to determine eligibility must be documented in the client file as evidence of client eligibility.
 - b. **Source Documentation;**
 - c. **Verification:** The Local Agency Representative must review and verify client's income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation, or
 - d. **Self-Certification:** After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, evidence of the various attempts at proving eligibility must be contained in the client file. This includes a notarized statement signed by the applicant indicating they have no other proof of income.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

i. Signed declaration of income statement must be used when documentation is unavailable.

ii. Clients claiming zero income must sign a declaration of no income. See Weatherization Program **Exhibit 1.3.1D, Declaration of No Income**. Local agencies may use this exhibit or equivalent documentation.

2. Maintaining Client Privacy: Local agencies will maintain the privacy of client personal information.

- a. Personal information collected, used, or acquired in connection with the Weatherization Program shall be used solely for the purpose of providing weatherization services. Local agencies agree not to release, reveal, publish, transfer, sell, or otherwise make known to unauthorized persons a client's personal information without his or her express written consent or as provided by law. Written consent must include what client information may be shared and to whom or which agencies/businesses.
- b. Local agencies agree to implement physical, electronic, and managerial safeguards to prevent unauthorized access to personal information. Personal information includes information that would identify an individual's health, education, business, use or receipt of governmental services, name, address, age, telephone number, social security number, driver's license number, and finances including financial profiles, credit card numbers, or other identifying numbers.
- c. Commerce reserves the right to monitor, audit, and investigate the use of personal information collected, used, or acquired by local agencies. Not properly maintaining clients' private information could result in termination of a contract or subcontract.
- d. Local agencies agree to indemnify and hold harmless Commerce, the State and its officers, employees, and authorized agents for any damages related to local agencies' unauthorized use of personal information.
- e. Local agencies shall include this client privacy policy in all subcontracts. In addition, local agencies shall include in subcontracts a clause stating that subcontractors agree to indemnify and hold harmless local agencies, the State and its officers, employees and authorized agents for any damages related to subcontractors' unauthorized use of personal information. Local agencies are responsible for monitoring the use of personal information collected by subcontractors.

3. Acquiring Energy Records and Account Information Waivers: Local agencies must acquire signed client waivers enabling Weatherization Program access to utility and other energy vendor billing records and account information, including account number, the name to which the account is billed and the billing address is accurately recorded for all clients. Account information must be gathered for all energy vendors, both electric and the primary heating source, and must include both consumption and expenditure data. See **Exhibit 1.3.1E, Sample Wx Program Utility Information Release Waiver**.

4. Citizenship Documentation: When required to determine citizenship for each household member, Local agencies shall include citizen documentation in the client file (or project file). See **Policy 1.1.2, Determining Income Eligible Clients** for determination requirements. Citizen Documentation shall include one of the following:

- a. United States birth certificate
- b. A copy of the social security card;
- c. A copy of other documentation or correspondence that shows both the name and social security number;
- d. The local agency can place in the file a signed statement that documentation proving an applicant's social security number was witnessed; or,
- e. See **Exhibit 1.3.1F, Qualified Alien Documents** for a list of acceptable documents.

[Effective Date: July 2018]

POLICY 1.3.2 SETTING PERIOD OF ELIGIBILITY

1. Setting Verified Eligibility Period:

An applicant will remain eligible for weatherization services for 12 months from the date of verified eligibility. The date of verified eligibility is either the Energy Assistance certification date or the Local Agency Wx Program verification date of income eligibility.

2. Continuing Period of Eligibility:

- a. If weatherization work is expected to begin between 12 and 15 months from the date of verified eligibility, the household shall show continued eligibility.
- b. A signed declaration of income statement for the previous three months may be used to update application if necessary.

3. Expiring Eligibility:

If weatherization work has not begun after 15 months from the date of verified eligibility, the household shall reapply in full.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

4. Beginning Weatherization Work:

Weatherization work begins on the date of energy audit.

Describe what household eligibility basis will be used in the Program

The Federal guidance for the Washington State Low-Income Weatherization Program Eligibility Guidelines is 200 percent of federally established poverty guidelines. It is acceptable to consider total household income at or below 200 percent Federal Poverty Level (FPL) or 60 percent State Median Income (SMI), whichever is greater. See also Policy 1.1.1 in V.1.1 - page 1.

[Effective Date: February 14, 2019]

POLICY 1.1.2 DETERMINING INCOME ELIGIBLE CLIENTS

1. **Using LIHEAP Income Eligibility Guidelines:** Local Agencies shall follow the income eligibility guidelines for the Washington State Energy Assistance Program/Low-Income Home Energy Assistance Program (LIHEAP) to determine types of eligible income, how to document income, and other eligibility rules. For more information, see:
 - a. *Weatherization Income Eligibility Guidelines*,
 - b. *LIHEAP Intake* link (above),
 - c. *Policy 1.1.1, Applying Income Eligibility Standards*, and
 - d. *Policy 1.3.1, Documenting Income Eligibility*.
2. **Commerce Publishes Wx Income Eligibility Guidelines Annually:** Commerce uses federal poverty guidelines issued annually by the United States Department of Health and Human Services (HHS) to establish client eligibility for the Weatherization Program. See *Weatherization Income Eligibility Guidelines*
3. **Determining Eligibility:**
 - a. Local Agencies shall determine income eligibility of a [household](#) prior to providing weatherization services.
 - b. Each household member shall submit source income documentation for the time period set.

Exceptions:

1. Children nineteen years of age, or under.
2. Self-Certification. See **Exhibit 1.3.1D, Declaration of No Income**.

Wx Policy 1.1.2 Determining Income Eligible Clients

Page 2 of 3

4. **Applying Eligible Income Guidelines Threshold:** To qualify as eligible clients, the income received by all household members shall not exceed 200 percent of federal poverty guidelines or 60 percent of state median income, whichever is greater. See **Policy 1.2.1, Prioritizing Eligible Weatherization Clients** for priority.

Exceptions:

- a. For Wx projects using LIHEAP funding, income shall not exceed 60 percent of state median income.
 - b. Use only [eligible household members](#) in the household count to determine eligibility.
5. **Applying Income Exclusions:** See *LIHEAP Intake* link (above) for **LIHEAP Policy 1.3.1, Defining Types of Income, Exclusions and Deductions**.
 - a. For 125 percent poverty guidelines, all current income exclusions apply.
 - b. For 200 percent federal poverty guidelines and 60 percent of state median income, all income exclusions apply except:
 1. 20 percent allowance for wage earner.
 2. 10 percent retirement deduction.
 3. 10 percent deduction for unemployment benefits.
6. **Determining Household Size and Citizenship Status:** Local Agencies shall determine the citizenship status of each household member in a single family dwelling receiving Federal Public Benefit. Per 62 FR 61344-61416, an eligible household member shall be a U.S. citizen or [qualified alien](#). Each eligible household member's citizenship status shall be documented. See **Policy 1.3.1, Documenting Income Eligibility** for documentation requirements.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Exceptions:

- a. Children under the age of 1 are exempt from qualified alien status verification.
- b. Local Agencies that are nonprofit charitable organizations and have completed the eligibility criteria opt out process and have a contractual agreement with Commerce for Weatherization Services. These entities are not required to determine, verify, or otherwise require proof of an applicant's eligibility based on the applicant's status as a U.S. citizen, U.S. non-citizen national or qualified alien. (62FR 61345 D). According to HHS guidance, if those exempt entities decide not to perform that eligibility determination then the State is responsible to perform it on their behalf.

Wx Policy 1.1.2 Determining Income Eligible Clients

Page 3 of 3

- c. Local Agencies do not need to verify alienage or citizenship of any of the multifamily building residents, since federal funds for weatherization of a multi-unit building (more than one dwelling unit) are not considered a Federal Public Benefit.

7. **Setting Time Period to Document Household Income:** Local Agencies shall set a period of time used to document the household's income. They may use either three (3) or 12 months prior to the date of application.
 - a. When three months of income are used, it will be converted to an estimated annual wage by multiplying the most recent three months of income by four.
 - b. If the household is determined to be ineligible based on the average income for three months, the applicant shall be notified that 12 months of documentation may be provided to re-determine eligibility.

[Effective Date: February 14, 2019]

POLICY 1.3.1 Documenting Eligibility (Income Verification)

1. **Documenting Income Eligibility:** Client file must contain income eligibility documentation. These documents can be stored electronically or retained in hard copy for each client.

- a. Types of required documentation:

1. **Source Documentation:** Clear copies of income documents.
2. **Verification:** Signed and dated statement by local agencies that the document was seen. See **Exhibit 1.3.1A, Income and Residence Verification Checklist**. Local agencies may use this exhibit or equivalent documentation to record the "I saw" verification of client status, income, and residence.

3. **Availability of Supporting Documentation:** For purposes of review and audit, each client file must contain:

- a. **Application:** The client application with the required demographics and income from the entire family living in the residence;
- b. **Eligibility Evidence:** Evidence the client is eligible to receive Wx Services, including but not limited to: a memorandum from a third party certification office stipulating the income levels of the family; or source documentation for each income source listed on the application.

4. **Multi-family buildings:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multi-family buildings. When centralized records are available, they may substitute for individual Household Information Forms.

- b. **Applying for EA and Wx:** For households applying to both the Energy Assistance and Weatherization programs, local agencies must follow

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

applicant file and verification procedures defined by the Washington State Energy Assistance Program/LIHEAP. See **LIHEAP Intake** and **LIHEAP Forms** links above. At a minimum, the documentation in Wx client file must include all of the following:

1. **Application:** LIHEAP's *Household Information Form (HIF)*, **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information
2. **Eligibility Evidence:**
 - a. **Eligibility Determined by Outside Agency/Program:** If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD building list, will suffice as evidence of client eligibility;
 - b. **Source Documentation;** or
 - c. **Verification:** The Local Agency Representative must review and verify client's income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation and
- c. **Applying for Wx only:** For households applying only for Weatherization, local agencies must collect and document the information included in the client file:
 1. **Application:** LIHEAP's *Household Information Form (HIF)*, **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information
 2. **Income calculation:** LIHEAP **Exhibit 1.1.1(B), Household Income Information Form**, **Exhibit 1.3.1C, Household Member & Income Information Form**, or equivalent documentation.
 3. **Eligibility Evidence:**
 - a. **Eligibility Determined by Weatherization Program:** If income eligibility is determined by the Weatherization program, any document used to determine eligibility must be documented in the client file as evidence of client eligibility.
 - b. **Source Documentation;**
 - c. **Verification:** The Local Agency Representative must review and verify client's income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation, or
 - d. **Self-Certification:** After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, evidence of the various attempts at proving eligibility must be contained in the client file. This includes a notarized statement signed by the applicant indicating they have no other proof of income.
 - i. Signed declaration of income statement must be used when documentation is unavailable.
 - ii. Clients claiming zero income must sign a declaration of no income. See Weatherization Program **Exhibit 1.3.1D, Declaration of No Income**. Local agencies may use this exhibit or equivalent documentation.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

2. **Maintaining Client Privacy:** Local agencies will maintain the privacy of client personal information.
 - a. Personal information collected, used, or acquired in connection with the Weatherization Program shall be used solely for the purpose of providing weatherization services. Local agencies agree not to release, reveal, publish, transfer, sell, or otherwise make known to unauthorized persons a client's personal information without his or her express written consent or as provided by law. Written consent must include what client information may be shared and to whom or which agencies/businesses.
 - b. Local agencies agree to implement physical, electronic, and managerial safeguards to prevent unauthorized access to personal information. Personal information includes information that would identify an individual's health, education, business, use or receipt of governmental services, name, address, age, telephone number, social security number, driver's license number, and finances including financial profiles, credit card numbers, or other identifying numbers.
 - c. Commerce reserves the right to monitor, audit, and investigate the use of personal information collected, used, or acquired by local agencies. Not properly maintaining clients' private information could result in termination of a contract or subcontract.
 - d. Local agencies agree to indemnify and hold harmless Commerce, the State and its officers, employees, and authorized agents for any damages related to local agencies' unauthorized use of personal information.
 - e. Local agencies shall include this client privacy policy in all subcontracts. In addition, local agencies shall include in subcontracts a clause stating that subcontractors agree to indemnify and hold harmless local agencies, the State and its officers, employees and authorized agents for any damages related to subcontractors' unauthorized use of personal information. Local agencies are responsible for monitoring the use of personal information collected by subcontractors.
3. **Acquiring Energy Records and Account Information Waivers:** Local agencies must acquire signed client waivers enabling Weatherization Program access to utility and other energy vendor billing records and account information, including account number, the name to which the account is billed and the billing address is accurately recorded for all clients. Account information must be gathered for all energy vendors, both electric and the primary heating source, and must include both consumption and expenditure data. See **Exhibit 1.3.1E, Sample Wx Program Utility Information Release Waiver**.
4. **Citizenship Documentation:** For federally funded single family residences, Local Agencies shall include citizen documentation for each eligible household member in the client file (or project file). See **Policy 1.1.2, Determining Income Eligible Clients** for determination requirements. Citizen Documentation shall include one of the following:
 - a. United States birth certificate
 - b. A copy of the social security card;
 - c. A copy of other documentation or correspondence that shows both the name and social security number;
 - d. The local agency can place in the file a signed statement that documentation proving an applicant's social security number was witnessed; or,
 - e. See **Exhibit 1.3.1F, Qualified Alien Documents** for a list of acceptable documents.

[Effective Date: July 2018]

POLICY 1.3.2 SETTING PERIOD OF ELIGIBILITY

1. Setting Verified Eligibility Period:

An applicant will remain eligible for weatherization services for 12 months from the date of verified eligibility. The date of verified eligibility is either the Energy Assistance certification date or the Local Agency Wx Program verification date of income eligibility.

2. Continuing Period of Eligibility:

- a. If weatherization work is expected to begin between 12 and 15 months from the date of verified eligibility, the household shall show continued eligibility.
- b. A signed declaration of income statement for the previous three months may be used to update application if necessary.

3. Expiring Eligibility:

If weatherization work has not begun after 15 months from the date of verified eligibility, the household shall reapply in full.

4. Beginning Weatherization Work:

Weatherization work begins on the date of energy audit.

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

[Effective Date: February 14, 2019]

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

POLICY 1.3.1 DOCUMENTING ELIGIBILITY

1. **Documenting Income Eligibility:** Client file shall contain income eligibility documentation. These documents can be stored electronically or retained in hard copy for each client.
 - a. Types of required documentation:
 1. **Source Documentation:** Clear copies of income documents.
 2. **Verification:** Signed and dated statement by local agencies that the document was seen. See **Exhibit 1.3.1A, Income and Residence Verification Checklist**. Local agencies may use this exhibit or equivalent documentation to record the “I saw” verification of client status, income, and residence.
 3. **Availability of Supporting Documentation:** For purposes of review and audit, each client file shall contain:
 - a. **Application:** The client application with the required demographics and income from the entire family living in the residence;
 - b. **Eligibility Evidence:** Evidence the client is eligible to receive Wx Services, including but not limited to: a memorandum from a third party certification office stipulating the income levels of the family; or source documentation for each income source listed on the application.
 4. **Multifamily buildings:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multifamily buildings. When centralized records are available, they may substitute for individual Household Information Forms.

Wx Policy 1.3.1 Documenting Eligibility

Page 2 of 4

- b. **Applying for EA and Wx:** For households applying to both the Energy Assistance and Weatherization programs, local agencies shall follow applicant file and verification procedures defined by the Washington State Energy Assistance Program/LIHEAP. See **LIHEAP Intake and LIHEAP Forms** links above. At a minimum, the documentation in Wx client file shall include all of the following:
 1. **Application:** LIHEAP **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information
 2. **Eligibility Evidence:**
 - a. **Eligibility Determined by Outside Agency/Program:** If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD building list, will suffice as evidence of client eligibility;
 - b. **Source Documentation;** or
 - c. **Verification:** The Local Agency Representative shall review and verify client’s income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation.
- c. **Applying for Wx only:** For households applying only for Weatherization, local agencies shall collect and document the information included in the client file:
 1. **Application:** LIHEAP **Exhibit 1.3.1B, Household Information Form (HIF)**, or equivalent information.
 2. **Income calculation:** LIHEAP **Exhibit 1.1.1(B), Household Income Information Form, Exhibit 1.3.1C, Household Member & Income Information Form**, or equivalent documentation.
 3. **Eligibility Evidence:**
 - a. **Eligibility Determined by Weatherization Program:** If income eligibility is determined by the Weatherization program, any document used to determine eligibility shall be documented in the client file as evidence of client eligibility.

Wx Policy 1.3.1 Documenting Eligibility

Page 3 of 4

- b. **Source Documentation;**
 - c. **Verification:** The Local Agency Representative shall review and verify client’s income eligibility information, determine the client is eligible for Wx Program, and document in the client file. The local agency may use **Exhibit 1.3.1A, Income and Residence Verification Checklist**, or equivalent documentation; or
 - d. **Self-Certification:** After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, evidence of the various attempts at proving eligibility shall be contained in the client file. This includes a notarized statement signed by the applicant indicating they have no other proof of income.
 - i. Signed declaration of income statement shall be used when documentation is unavailable.
 - ii. Clients claiming zero income shall sign a declaration of no income. See Weatherization Program **Exhibit 1.3.1D, Declaration of No Income**. Local agencies may use this exhibit or equivalent documentation.
2. **Maintaining Client Privacy:** Local agencies will maintain the privacy of the client’s personal information.
 - a. Personal information collected, used, or acquired in connection with the Weatherization Program shall be used solely for the purpose of providing

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

weatherization services. Local agencies agree not to release, reveal, publish, transfer, sell, or otherwise make known to unauthorized persons a client's personal information without his or her express written consent or as provided by law. Written consent shall include what client information may be shared and to whom or which agencies/businesses.

- b. Local agencies agree to implement physical, electronic, and managerial safeguards to prevent unauthorized access to personal information. Personal information includes information that would identify an individual's health, education, business, use or receipt of governmental services, name, address, age, telephone number, social security number, driver's license number, and finances including financial profiles, credit card numbers, or other identifying numbers.

Wx Policy 1.3.1 Documenting Eligibility

Page 4 of 4

- c. Commerce reserves the right to monitor, audit, and investigate the use of personal information collected, used, or acquired by local agencies. Not properly maintaining clients' private information could result in termination of a contract or subcontract.
- d. Local agencies agree to indemnify and hold harmless Commerce, the State and its officers, employees, and authorized agents for any damages related to local agencies' unauthorized use of personal information.
- e. Local agencies shall include this client privacy policy in all subcontracts. In addition, local agencies shall include in subcontracts a clause stating that subcontractors agree to indemnify and hold harmless local agencies, the State and its officers, employees and authorized agents for any damages related to subcontractors' unauthorized use of personal information. Local agencies are responsible for monitoring the use of personal information collected by subcontractors.

3. **Acquiring Energy Records and Account Information Waivers:** Local agencies shall acquire signed client waivers enabling Weatherization Program access to utility and other energy vendor billing records and account information, including account number, the name to which the account is billed and the billing address is accurately recorded for all clients. Account information shall be gathered for all energy vendors, both electric and the primary heating source, and shall include both consumption and expenditure data. See **Exhibit 1.3.1E, Sample Wx Program Utility Information Release Waiver**.

4. **Citizenship Documentation:** When required to determine citizenship for each household member, Local agencies shall include citizen documentation in the client file (or project file). See **Policy 1.1.2, Determining Income Eligible Clients** for determination requirements. Citizen Documentation shall include one of the following:

- a. United States birth certificate;
- b. A copy of the social security card;
- c. A copy of other documentation or correspondence that shows both the name and social security number;
- d. The local agency can place in the file a signed statement that documentation proving an applicant's social security number was witnessed; or,
- e. See **Exhibit 1.3.1F, Qualified Alien Documents** for a list of acceptable documents.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

[Effective Date: July 2016]

POLICY 2.1.1-SF QUALIFYING SINGLE-FAMILY RESIDENCES

1. Local agencies may weatherize single-family residences owned by low-income persons to increase the energy efficiency, reduce their total residential expenditures, and improve their health and safety. See **Policy 1.2.1, Prioritizing Eligible Weatherization Clients**. Subgrantees shall comply with 10 CFR 440.22(B)(3) (iv) No undue or excessive enhancement shall occur to the value of the dwelling units.

Subgrantees shall comply with 10 CFR 440.22(B)(3) (iv) Owner contributions are allowed only in Multifamily Family buildings except in the case of single family rental for which Subgrantees are required to collect owner contributions per WA state law.

2. Local agencies may weatherize single-family residences which are rental dwelling units occupied by eligible tenant households when:

- a. The owner has signed a property owner/agency agreement authorizing the weatherization work, accepting conditions protecting the interests of

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

tenants, and other provisions required by Commerce and the local agency. See **Policy 1.3.3, Using Property Owner/Agency Agreements.**

[Effective Date: October 1, 2020]

POLICY 2.1.2-MF QUALIFYING MULTIFAMILY RESIDENCES

1. Local agencies may weatherize multifamily properties when:
 - a. **Property Owner/Agency Agreement:** The owner has signed a rental property owner/agency agreement. See **Policy 1.3.3, Using Property Owner/Agency Agreements.**
 - b. **Income Eligibility:** Multifamily building tenant incomes meet LIHEAP Income Eligibility Guidelines. See **Policy 1.1.1 Applying Income Eligibility Standards.**

(1.) **Qualifying 66% or More:** Not less than 66 percent (50 percent for duplexes and four-plexes) of the resident households of the building are:

 - a. Currently eligible, or
 - b. Will become eligible within 180 days.

(2.) **Qualifying 50% to 66%:** Low-income occupancy falls between 50 and 66 percent and the weatherization work will create significant energy savings or additional funds are leveraged from property owners, utilities, or other sources.

(3.) **Using Centralized Records and Rent Rolls:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multifamily buildings (e.g. Housing Trust Fund subsidized housing portfolio). When centralized records are available, they may substitute for individual Household Information Forms (HIF).

2. Demographic and Citizenship Information: Local agencies must collect demographic and citizenship information either from public/subsidized multifamily housing provider in aggregate or from individual tenants. See **Policy 1.3.1, Documenting Income Eligibility.**

3. DOE Fund Restrictions:

The maximum amount of DOE funds that can be used will be the lesser of either one of the following:

- a. The percentage of low-income eligible units multiplied by the total allowable weatherization costs (estimated in the initial audit).
- b. The number of eligible units multiplied by the maximum average allowable cost per unit.

[Effective Date: February 14, 2019]

POLICY 1.3.1 DOCUMENTING INCOME ELIGIBILITY

1. **Documenting Income Eligibility:** Client file shall contain income eligibility documentation. These documents can be stored electronically or retained in hard copy for each client.
 - a. Types of required documentation:
 1. **Source Documentation:** Clear copies of income documents.
 2. **Verification:** Signed and dated statement by local agencies that the document was seen. See **Exhibit 1.3.1A, Income and Residence Verification Checklist.** Local agencies may use this exhibit or equivalent documentation to record the "I saw" verification of client status, income, and residence.
 3. **Availability of Supporting Documentation:** For purposes of review and audit, each client file shall contain:
 - a. **Application:** The client application with the required demographics and income from the entire family living in the residence;
 - b. **Eligibility Evidence:** Evidence the client is eligible to receive Wx Services, including but not limited to: a memorandum from a third party certification office stipulating the income levels of the family; or source documentation for each income source listed on the application.

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- Page 2 of 4

- Page 3 of 4

- Page 4 of 4

- Page 12 / 64

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- e. Local agencies shall include this client privacy policy in all subcontracts. In addition, local agencies shall include in subcontracts a clause stating that subcontractors agree to indemnify and hold harmless local agencies, the State and its officers, employees and authorized agents for any damages related to subcontractors' unauthorized use of personal information. Local agencies are responsible for monitoring the use of personal information collected by subcontractors.
- 3. **Acquiring Energy Records and Account Information Waivers:** Local agencies shall acquire signed client waivers enabling Weatherization Program access to utility and other energy vendor billing records and account information, including account number, the name to which the account is billed and the billing address is accurately recorded for all clients. Account information shall be gathered for all energy vendors, both electric and the primary heating source, and shall include both consumption and expenditure data. See **Exhibit 1.3.1E, Sample Wx Program Utility Information Release Waiver**.
- 4. **Citizenship Documentation:** When required to determine citizenship for each household member, Local agencies shall include citizen documentation in the client file (or project file). See **Policy 1.1.2, Determining Income Eligible Clients** for determination requirements. Citizen Documentation shall include one of the following:
 - a. United States birth certificate;
 - b. A copy of the social security card;
 - c. A copy of other documentation or correspondence that shows both the name and social security number;
 - d. The local agency can place in the file a signed statement that documentation proving an applicant's social security number was witnessed; or,
 - e. See **Exhibit 1.3.1F, Qualified Alien Documents** for a list of acceptable documents.

Describe Reweatherization compliance

[Effective Date: July 2021]

POLICY 2.1.7 REWEATHERIZING

1. Reweatherizing is the Lowest Priority:

Local agencies are expected to weatherize new projects and not revisit homes previously weatherized. Justification for reweatherization must be documented in the client files and WIDS notes.

2. Determining Previously Weatherized Units

Local agencies must determine if a dwelling unit was previously weatherized through the Commerce's Low-Income Weatherization Program.

If the Local Agency cannot verify previously weatherized units through their internal records or WIDS (i.e. when serving a new territory), the Local Agency must complete all the following:

- a. Look for evidence of previous weatherization as part of the Energy Audit Pre-Assessment (See Policy 5.2.2), such as Insulation Certificate, Furnace Replacement, Wall Insulation, Attic Insulation, or Major Air Sealing, and
- b. Obtain a written confirmation from the client stating to the best of their knowledge the home has not received weatherization through the Commerce's Low-Income Weatherization Program.

3. Restricting Fund Sources

a. DOE and LIHEAP Restrictions

- 1. No DOE or LIHEAP funds must be used to install or provide materials for a dwelling unit previously weatherized (reweatherization) unless:
 - a. The dwelling unit has been damaged by fire, flood, or act of nature and repair of the damage to the weatherization materials is not paid for by insurance.
 - b. The 'Completed Unit' date for the previous Weatherization is more than 15 years. This includes dwelling units partially weatherized.
 - c. The service is to provide client education and eligible low-cost/no-cost weatherization materials.

b. Other Fund Sources

Taking into account any previous energy conservation improvements, regardless of when a home was weatherized or other fund sources used:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. BPA funds may be used to provide additional cost-effective weatherization *on electrically heated homes*.
2. Matchmaker may be used to provide additional cost-effective weatherization.

Describe what structures are eligible for weatherization

ATTACH PROGRAMMATIC SHPO AGREEMENT

The following are considered eligible units (all relevant policies are listed below):

1. Qualified single-family residences - dwellings (site-built and mobile homes) owned or occupied by low-income persons (Policy 2.1.1)
2. Qualified multifamily residences (Policy 2.1.2)
3. Shelters (Policy 2.1.4)
4. Group homes (Policy 2.1.4)
5. Transitional facilities (Policy 2.1.4)

[Effective Date: July 2016]

POLICY 2.1.1-SF QUALIFYING SINGLE-FAMILY RESIDENCES

1. Local agencies may weatherize single-family residences owned by low-income persons to increase the energy efficiency, reduce their total residential expenditures, and improve their health and safety. See **Policy 1.2.1, *Prioritizing Eligible Weatherization Clients***.
2. Local agencies may weatherize single-family residences which are rental dwelling units occupied by eligible tenant households when:
 - a. The owner has signed a property owner/agency agreement authorizing the weatherization work, accepting conditions protecting the interests of tenants, and other provisions required by Commerce and the local agency. See **Policy 1.3.3, *Using Property Owner/Agency Agreements***.

[Effective Date: October 1, 2020]

POLICY 2.1.2-MF QUALIFYING MULTIFAMILY RESIDENCES

1. Local agencies may weatherize multifamily properties when:
 - a. **Property Owner/Agency Agreement:** The owner has signed a rental property owner/agency agreement. See **Policy 1.3.3, *Using Property Owner/Agency Agreements***.
 - b. **Income Eligibility:** Multifamily building tenant incomes meet LIHEAP Income Eligibility Guidelines. See **Policy 1.1.1 *Applying Income Eligibility Standards***.
1. **Qualifying 66% or More:** Not less than 66 percent (50 percent for duplexes and four-plexes) of the resident households of the building are:
 - a. Currently eligible, or
 - b. Will become eligible within 180 days.
2. **Qualifying 50% to 66%:** Low-income occupancy falls between 50 and 66 percent and the weatherization work will create significant energy savings or additional funds are leveraged from property owners, utilities, or other sources.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

3. **Using Centralized Records and Rent Rolls:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multifamily buildings (e.g. Housing Trust Fund subsidized housing portfolio). When centralized records are available, they may substitute for individual Household Information Forms (HIF).

1. **Demographic and Citizenship Information:** Local agencies must collect demographic and citizenship information either from public/subsidized multifamily housing provider in aggregate or from individual tenants. See **Policy 1.3.1, Documenting Income Eligibility**.
2. **DOE Fund Restrictions:**

The maximum amount of DOE funds that can be used will be the lesser of either one of the following:

- a. The percentage of low-income eligible units multiplied by the total allowable weatherization costs (estimated in the initial audit).
- b. The number of eligible units multiplied by the maximum average allowable cost per unit.

[Effective Date: July 2016]

POLICY 2.1.4 SHELTERS, GROUP HOMES, AND TRANSITIONAL FACILITIES

1. A local agency may weatherize an emergency shelter, group home, or similar facility for long- or short-term residents, provided the owner or organization and residents of the dwelling units meet prescribed building and income eligibility requirements.
 - a. Local agencies will document individual resident income verification unless there is such a high rate of turnover among residents that documentation of individual resident eligibility is impractical (see below, policy 1.b.).
 - b. When documentation of individual resident income eligibility is impractical, operators of eligible facilities must complete **Exhibit 2.1.4A, WAP Application for Shelters, Group Homes, & Transitional Facilities**, with the following supporting documentation:
 1. A signed statement from the facility operator attesting that the individuals/households residing in the facility are income eligible.
 2. A copy of the organization's income guidelines or a copy of the organization's mission statement in lieu of individual resident income verification.
2. DOE Fund Restrictions. For the purpose of determining how many dwelling units exist in a shelter, local agencies may count one of the following as a dwelling unit:
 - a. Each 800 square feet
 - b. Each floor

[Effective Date: July 2021]

POLICY 2.1.3 INELIGIBLE RESIDENCES AND EXCEPTIONS

1. **Owner Occupied:** No owner-occupied residence shall be weatherized if it is being offered for sale.
2. **Rentals:** No renter-occupied residence shall be weatherized if it is being offered for sale, unless both of the following apply:
 - a. It can be demonstrated that the residence will continue to be occupied by eligible tenants.
 - b. Weatherization work performed is not incorporated into the sale price.
3. **Institutional Buildings:** No institutional buildings (university, nursing home, hospital, motel, etc.) are to be weatherized, except as noted in **Policy 2.1.4, Shelters, Group Homes, and Transitional Facilities**.

If a local agency wishes to weatherize an institutional building due to unusual circumstances (excluding exceptions described in **Policy 2.1.4**), the local agency must have prior written approval from Commerce.

4. **Reweathering:** Reweathering is the lowest priority. Local agencies are expected to weatherize new projects and not revisit homes previously weatherized. Justification for re-weatherization must be documented in the client files and WIDS notes. See **Policy 2.1.7, Reweathering** for requirements, fund restrictions, and exceptions.

[Effective Date: July 2016]

POLICY 2.1.6 PRESERVING HISTORIC PROPERTIES

1. **Weatherizing Historic Properties:** Local agencies that undertake weatherization work with funding from Commerce must ensure that properties listed on or eligible for the National Register of Historic Places abide by the Secretary of the Interior's Standards for Historic Preservation as required by law under 36 CFR 800 and the National Historic Preservation Act (NHPA) of 1966.

Washington State's Department of Archaeology and Historical Preservation (DAHP), our State Historic Preservation Office (SHPO) provides guidance for these standards.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

2. **Using Federal Funds Requires Environmental Review:** The application for Federal funds necessitates an environmental review for Historic and Cultural Resources. This applies to all weatherization programs, including DOE, HHS, BPA, and the MM Program.
3. **Noncompliance:** Failure to comply with this law will result in disallowed costs.
4. **Documenting Historic Weatherization Properties:** Local agencies must record in WIDS one of the following:
 - a. Use the Programmatic Agreement for exempt Wx projects. See **Exhibit 2.1.6A, DOE-WA State Historic Preservation Programmatic Agreement**,
 - b. Submit to SHPO and the property is determined Not Historic Site, or
 - c. Submit to SHPO and the property is determined Historic Site.
5. **Using Programmatic Agreement to Exempt Wx Project from Section 106 Review:** Local agencies are not required to submit to SHPO Wx projects that meet the Programmatic Agreement (Appendix A and Appendix B) listed exemptions, as they do not have the potential to cause effects on historic properties even when historic properties may be present. See **Exhibit 2.1.6A, DOE-WA State Historic Preservation Programmatic Agreement**.
6. **Submitting Historic Weatherization Properties to SHPO:** Local agencies must include a copy of **Exhibit 2.1.6B, Historic Preservation Checklist** and the following DAHP Compliance Documents in the client file, if applicable.
 - a. **DAHP EZ-1, Project Review Sheet** for Historic and Cultural Resources Review, including DAHP's response.
 - b. **DAHP EZ-2 Determination of Eligibility** on-line Historic Property Inventory process, including DAHP's response.
 - c. **DAHP EZ-3 Building Rehabilitation Worksheet** for buildings listed or eligible to the National Register of Historic Places, including DAHP's response.
7. **Additional Information:**
 - a. See **National Park Service (NPS) Preservation Brief 3, Conserving Energy in Historic Buildings**. The brief contains information on energy conservation for historic buildings with specific recommendations for positive results in the weatherization of structures. Please share this material with staff, crew, and subcontractors. To access the brief, open the above link.
 - b. See **NPS Preservation Brief 9, The Repair of Historic Wooden Windows**. The brief contains information on weatherization and window replacement. Please share this material with staff, crew, and subcontractors. To access the brief, open the above link.
 - c. See **Secretary of the Interior's Standards for Rehabilitation**. These are the guidelines DAHP will follow for window treatments. Please share this material with staff, crew, and subcontractors. To access the standards, open the above link.

Describe how Rental Units/Multifamily Buildings will be addressed

UPDATE See also 'V.1.2 Complaints+and+Dispute+Resolution' and 'V.1.2 Property+Owner+Tenant+Agreement' in SF-424.

Per Washington State Weatherization Manual:

[Effective Date: July 2018]

POLICY 1.3.3 USING PROPERTY OWNER/AGENCY AGREEMENTS

1. **Using Owner-Occupied Property Owner/Agency Agreement:** Local agencies shall use a property owner-occupant/agency agreement for all owner occupied units. See example **Exhibit 8.4.1A, Property Owner Release Form**
2. **Using Rental Property Owner/Agency Agreement:** As a minimum, Local agencies shall use the property owner/agency agreement provided by Commerce for all rental units. See **Exhibit 1.3.3B, Wx Program Rental Property Owner/Agency Agreement**.
 - a. **Adding Items:** Local agencies may add additional items to the agreement list.
 - b. **Altering Items to Increase Requirement:** Local agencies may alter items if the change increases the stringency of the requirement. For example, increasing the time period between Wx project completion and if owner sells property from the minimum twelve months to three years, for which the owner is then required to reimburse the Wx investment, increases the stringency.
 - c. **Altering Items to Decrease Requirement:** Local Agencies shall receive prior written Commerce approval to alter any item which results in decreased stringency.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

3. **Contacting Property Owners:** Local agencies shall contact property owner or authorized agent directly to discuss the Agreement, its conditions, and the benefits of weatherization to them and their rental tenants.
4. **Terms of Agreement:**
 - a. **Purpose and Benefits:** The purpose of the Weatherization Project is to benefit the tenant(s). See **Policy 1.4.1, *Accrual of Benefits*** for requirements.
 - b. **Owner Responsibilities and Maintenance:** Local agencies shall provide manufacturer's requirements and written directions for care and maintenance for installed equipment and systems. In signing the Owner/Agency Agreement, the owner or agent is agreeing to care and maintain the installed equipment and systems as part of the legal RCW 59.18.060. The Weatherization Program will not supplant these owner responsibilities.
 - c. **Leveraging Owner Contributions:** Local agencies shall attempt to secure owner contributions, wherever possible. See **Policy 1.4.2, *Leveraging Owner Contributions***.
 - d. **Phased Projects:** Local agencies shall consider phasing Wx projects to optimize schedules, capacity, and funding to maximize potential energy savings. See **Policy 2.1.8-MF, *Phasing Multifamily Weatherization Projects***.
 - e. **Release:** Owner or owner's agent holds Local agency harmless from any liability in connection with the Weatherization work.
 - f. **Other Numbered Agreements:**
 1. **Rent:** Weatherization improvements cannot be used to justify any rent increase.
 2. **Selling Property:** If owner sells property within twelve (12) months after weatherization work is complete, they shall either reimburse the Local agency a prorated amount or sell to an owner willing to assume the owner's obligations under the agreement.
 3. **Conditions and Violations:** Addresses conditions of agreement and consequences if the agreement is violated. Also, gives the tenants as intended beneficiaries the right of enforcement.
5. **Client Education:** Local agencies shall provide agreement marketing and tenant rights information to clients (owners and tenants) during the course of the weatherization work. See **Policy 5.1.4, *Client Education*** for requirements. See **Exhibit 1.3.3C, *Owner/Agency Agreement InfoSheet*** and **Exhibit 1.3.3D, *Tenant Wx Rights InfoSheet***.

[Effective Date: July 2018]

POLICY 1.4.1 ENSURING DIRECT BENEFITS

1. **Benefitting Low-Income Client:** Weatherization shall directly benefit the low-income client(s), including occupants and tenants.
2. **Identifying Direct Benefits:** With any rental property (single-family or multifamily) Local agencies shall identify the direct benefits of the weatherization work and ensure they accrue primarily to the low-income client/tenant (10 CFR 440.22(b)(3)(i)). This is especially important for Wx projects in which the tenants do not directly pay for their own utilities. See **Exhibit 1.4.1, *Accrual of Benefits*** for list of potential qualifying benefits.
3. **Documentation:** The Local Agency shall document direct benefits accrue to low-income client(s). See **Policy 5.1.2, *Weatherization Project Documentation*** for requirements.

[Effective Date: October 1, 2020]

POLICY 2.1.2-MF QUALIFYING MULTIFAMILY RESIDENCES

1. Local agencies may weatherize multifamily properties when:
 - a. **Property Owner/Agency Agreement:** The owner has signed a rental property owner/agency agreement. See **Policy 1.3.3, *Using Property Owner/Agency Agreements***.
 - b. **Income Eligibility:** Multifamily building tenant incomes meet LIHEAP Income Eligibility Guidelines. See **Policy 1.1.1 *Applying Income Eligibility Standards***.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. **Qualifying 66% or More:** Not less than 66 percent (50 percent for duplexes and four-plexes) of the resident households of the building are:

- a. Currently eligible, or
- b. Will become eligible within 180 days.

2. **Qualifying 50% to 66%:** Low-income occupancy falls between 50 and 66 percent and the weatherization work will create significant energy savings or additional funds are leveraged from property owners, utilities, or other sources.

3. **Using Centralized Records and Rent Rolls:** Local agencies may use their own certification form to verify income eligibility of residents in public/subsidized multifamily buildings (e.g. Housing Trust Fund subsidized housing portfolio). When centralized records are available, they may substitute for individual Household Information Forms (HIF).

2. **Demographic and Citizenship Information:** Local agencies must collect demographic and citizenship information either from public/subsidized multifamily housing provider in aggregate or from individual tenants. See **Policy 1.3.1, Documenting Income Eligibility**.

3. **DOE Fund Restrictions:**

The maximum amount of DOE funds that can be used will be the lesser of either one of the following:

- a. The percentage of low-income eligible units multiplied by the total allowable weatherization costs (estimated in the initial audit).
- b. The number of eligible units multiplied by the maximum average allowable cost per unit.

[Effective Date: July 2017]

POLICY 2.1.5 SUBSIDIZED HOUSING WEATHERIZATION

1. Non-subsidized housing and nonprofit subsidized housing have equal priority for weatherization.

This policy applies to the following types of [Subsidized Housing](#):

- a. All conventional public housing.
- b. Federally subsidized housing:
 - 1. Housing and Urban Development (HUD).
 - 2. United States Department of Agriculture (USDA) Rural Development.
 - 3. Section 8 Housing Choice Vouchers (HUD)
- 2. Commerce recognizes the extensive variations in public and private subsidies that exist for rental houses and tenants, and relies on the discretion of local agencies to judge local situations.
 - a. Non-subsidized housing and nonprofit subsidized housing with Housing Trust Fund investment will be given preference over public and privately owned subsidized housing for weatherization.
 - b. Local agencies will apply the following guidelines for subsidized housing, in order of priority:
 - 1. Non-profit housing when the organization can document its commitment to:
 - a. Retaining the unit as low-income housing for at least ten years.
 - b. Performing necessary maintenance to maximize the health, safety, and energy efficiency of the unit.
 - c. Distributing consumer conservation education information on how to sustain a
 - 2. Public housing is defined as units owned by a public housing authority where tenants pay a percentage of income for rent and utilities.
 - 3. Private federally subsidized housing is defined as units owned by a private developer who received financial benefits from the government to develop and/or maintain the project.
 - 4. Other funding options for weatherization of subsidized housing:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- a. Owners/managers of public or private subsidized homes who have access to other funding sources for weatherization such as personal resources, flexible subsidy funds, or USDA Rural Development must make every effort to use those funds before local agencies can consider weatherizing their units with funds from Commerce. Applicants must document the lack of funds, which will be included in the client files.
5. Subsidized tenants receiving rental or utility subsidies under Section 8 HUD Programs may qualify when local agencies can be assured all of the following conditions are met:
 - a. The property owner does not have access to HUD or USDA Rural Development funds. Local agencies may give preference to clients without subsidy on the waiting list.

[Effective Date: October 1, 2020]

POLICY 1.4.2 LEVERAGING OWNER CONTRIBUTIONS

1. **Supplementing, not Supplanting, Landlord Responsibilities:** Local agencies shall inform the owner of their legal responsibilities and liabilities under RCW 59.18.060.
2. **Leveraging Owner Contributions:** Local agencies shall make every effort to leverage owner contributions wherever possible for all weatherization projects.

Exceptions:

- a. **Low-income Owners:** If the building owner (rental or owner-occupied) meets the income eligibility and qualifies as low-income themselves, Local Agencies are prohibited from requiring any owner contribution. The low-income owner is allowed to voluntarily contribute in-kind contributions.
- b. **Low-income Mission-Based Owners:** If the building owner/organization's mission is to preserve and provide low-income housing with a covenant that ensures low-income housing for ten years or more, any owner contribution is encouraged but may be waived.
3. **Determining Contributions:** The type and amount of the owner contributions may be negotiated based on market conditions and the discretion of the local agency in order to create good partners and quality weatherization projects. Owner contributions may include any or all of the following:
 - a. **Cash Contribution:** A recommended minimum baseline buy-in is \$500 for the first unit, plus an additional \$125 for each additional unit or 10% of the total Weatherization Project Installed Measure Cost, whichever is greater.
 - b. **In-kind Contributions:** Including, but not limited to: labor, materials, repairs, and a commitment to maintain equipment and property.
 - c. **Rent Freeze:** A recommended minimum of twelve (12) months.
 - d. **Preserve Low-income Housing:** Covenant assuring continued low-income tenant occupancy for a minimum of five (5) years.
 - e. **Contract Directly:** The owner may hire contractors to complete the construction work described in the Scope of Work (SOW) including repair and weatherization work, provided the Local Agency has oversight and performs inspections for quality control and Weatherization Program compliance.
 - f. **Any combination of the above.**

Wx Policy 1.4.2 Leveraging Owner Contributions

Page 2 of 2

4. **Phasing Weatherization Projects:** Housing providers often work through large maintenance projects on their properties (such as re-roofing or re-siding) as their funding is available. Local agencies are encouraged to time the weatherization of buildings with these opportunities in mind, and to install new measures as leveraged funds and schedules are made available. See **Policy 2.1.8-MF, Phasing Multifamily Weatherization Projects** for more information.

Phasing Multifamily Weatherization Projects opportunities include, but are not limited to:

- a. Coordinate Weatherization measures to coincide with scheduled maintenance or planned capital improvements to maximize owner funding contributions.
- b. Deep energy savings which become available during the course of maintenance projects.
- c. Leveraged funding availability from owners.

Describe the deferral Process

[Effective Date: July 2018]

POLICY 5.1.3 DEFERRAL STANDARDS

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. **Deferring Weatherization:** Local agencies may defer weatherization work if they encounter problems that are beyond the scope of the Weatherization Assistance Program.
 - a. If the project is deferred, the Local agency shall use a deferral form to:
 1. Inform clients of deferral in writing. If the property is a rental, property owners shall also receive a copy.
 2. Document observed conditions requiring deferral of the Weatherization project.
 3. Define actions and results required, before Weatherization can commence.
 4. Local agency shall inform client to contact Local agency, once actions are complete, results are realized, and conditions are resolved so site visit can be scheduled to determine if the weatherization project can commence.
2. **Postponing Weatherization Work:** Deferring weatherization work does not mean assistance will never be available, but that any work shall be postponed until problems can be resolved and alternative sources of help are found.
3. **Developing Deferral Guidelines:** Local agencies shall develop guidelines and a standardized form. See **Exhibit 5.5A, Weatherization Deferral Form**, for an example of a standardized form.
4. **Justifying Deferrals:** Deferral guidelines may include the following:
 - a. The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
 - b. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner.
 - c. The house has sewage or other sanitary problems that would further endanger the client and the weatherization installers if weatherization work were performed.
 - d. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red-tagged" by a local or state building official or utility.
 - e. Moisture problems are so severe they cannot be resolved under existing health and safety measures and minor repairs.
 - f. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances and cannot be resolved under existing health and safety measures.
 - g. The client is uncooperative, abusive, or threatening to crew, auditors, inspectors, contractors, or others who shall work on or visit the house.
 - h. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards. See *Deferral Policy Related to Lead-Based Paint* in the *WAP Health and Safety Plan*.
 - i. Discovery of Asbestos Containing Materials (ACM). Local agencies may defer specific measure(s) or the entire weatherization project due to ACM. When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.
 - j. In the judgment of the energy auditor, conditions exist which may endanger the health and safety of the work crew or contractor. Work should not proceed until the condition is corrected.
5. **Searching for Alternatives:** Local agencies shall actively pursue all alternative options on behalf of the client, including referrals, and use good judgment in dealing with difficult situations.
6. **Client Education:** Local agency shall provide clients with deferral documentation. If the property is a rental, property owners shall also receive a copy. See **Policy 5.1.4, Client Education** for requirements.
7. **Documentation:** The Local Agency shall document all deferral information. See **Policy 5.1.2, Weatherization Project Documentation** for requirements.

V.1.3 Definition of Children

Definition of children (below age): 19

V.1.4 Approach to Tribal Organizations

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

☐ 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.

Through the Tribal Liaison position, Commerce is committed to improving outreach and services to low-income Native Americans in Washington State. This position also seeks to motivate local agencies to increase the number of low-income Native American Homes weatherized, and encouraging local agencies to more accurately identify and report all Native American weatherization projects.

The goal is to increase the communication and interaction between the local agencies, tribes, and other service providers. The Tribal Liaison is responsible for developing state-to-tribal relationships, facilitating dialogue and projects between tribes and local weatherization agencies, and managing special project contracts with tribal nations or other entities.

According to the 2013 Census, the proportion of Native Americans in Washington statewide low-income population is 2%. Expectations are that local agencies will provide weatherization services to homes of eligible Native Americans in a proportion at least equal to the eligible low-income population in their service area and to submit accurate information on the number of Native American weatherized units in Weatherization Information Data System (WIDS).

Commerce will continue the following three approaches through the Tribal Weatherization Project in the 2018 program year.

a) Tribal Weatherization Set-Aside

In an effort to improve, the delivery of weatherization services to Native American families Commerce will reserve approximately four percent of the DOE budget to be awarded to tribal organizations and other entities that will increase weatherization service to reservation households. Over the past three years, Commerce has identified tribal nations whose nation size, capacity, and geographic location justify direct contracts for weatherization service. In addition, Commerce will consider solicited and non-solicited proposals, subject to available funds, from organizations identifying specific outreach goals and cooperative partnerships with local agencies, local area tribes, and tribal entities to maximize weatherization services to eligible low-income Native American families.

b) Training Opportunities for Tribes and Local Agencies

Tribes – As an incentive to increase technical and program knowledge of weatherization and conservation techniques, tribal housing authority staff or tribal members involved in weatherization activities may attend any BPC trainings at no cost.

Commerce coordinates with BPC to develop a core weatherization training curriculum for tribes. Commerce will work with tribal organizations to let them know about a variety of weatherization training opportunities. Commerce will also consider training scholarships when there is long-term benefit to the program and Native American households.

Local Agencies – To increase awareness of Native American culture, operation, and history as well as the Native American awareness of weatherization and conservation programs available to tribes and tribal entities, local agencies will be encouraged to attend Government-to-Government training provided by the Washington Governor's Office of Indian Affairs. Training and technical assistance funding will be available to local agencies participating in this training. Other training for local agencies working with tribes will be offered at conferences.

c) Networking, Outreach and Coordination

Commerce will organize and help facilitate local or regional meetings between local agencies and tribal nations to increase the number of low-income Native American families receiving weatherization services through the weatherization programs available and to increase the weatherization technical and program capacity for tribes.

Commerce will continue to participate in groups such as Northwest Indian Housing Association (NWIHA), Tribal Housing Assistance Team (THAT) and other collaborations to provide information about the weatherization program, and to develop partnerships for collaborative outreach efforts to tribes. Commerce will support appropriate state and regional tribal meetings and conferences dealing with energy conservation, weatherization, and associated training.

Tribal grantees will also be encouraged to participate in the Weatherization and Health Enhanced Program, as funding becomes available. The Weatherization plus Health Enhanced Program is a pilot that is made available to eligible clients with chronic respiratory issues. One local tribal grantee submitted an application and received Washington State Capital MatchMaker funding to enact Weatherization Plus Health Enhanced and found success by serving families with a combination of standard weatherization measures and additional measures to ensure that the indoor air quality was greatly improved. It is hoped that this program will be able to expand to all grantees in the future.

Commerce welcomes tribal weatherization sub-grantees to take part in the regularly scheduled Network Meetings and the Technical Development

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Committee meetings to take part in the discussions and share the unique challenges that come with serving Native Americans on the reservations.

Commerce will also work to ensure coordination of the DOE Weatherization Assistance Program, the Bonneville Power Administration Weatherization Program, and the LIHEAP Weatherization Programs regarding tribal weatherization projects and activities.

Commerce requires that all sub-grantees create a tribal outreach plan to outline their individual efforts to reach the Native Americans in their service area. These plans are reviewed and approved. The plans are discussed during the annual monitoring and verified in the State's Weatherization Information Database System (WIDS).

[Effective Date: July 2018]

POLICY 1.2.3 SERVING LOW-INCOME NATIVE AMERICANS

1. Prioritizing Native Americans for Weatherization Services

Local agencies must serve low-income Native Americans in their service area, with particular emphasis on households residing on reservations.

2. Serving Native Americans Proportionately

Local agencies must serve eligible low-income tribal members in proportion to the percentage of Native American population based on current census data for their service area.

3. Performing Native American Outreach:

Local agencies must develop a Native American Outreach Plan each year and submit to Commerce by December 31.

Local agencies may use a variety of outreach methods to recruit Native American clients as noted in **Policy 1.2.2, *Searching for Eligible Weatherization Clients***. Special outreach efforts may be required to achieve desired service levels, such as speaking at tribal community events.

V.2 Selection of Areas to Be Served

Commerce subcontracts with 24 local agencies which cover all 39 counties in Washington and 3 Native American Tribes. Tribal grantees are selected based on tribal nation size and capacity for providing weatherization services.

V.3 Priorities

Applicants who are of a priority status are drawn first from waiting lists by the local agencies. Local agencies use oldest application certification date for positioning applicants with the same category. Applicants may also be selected to receive weatherization services based on timing to coordinate services with another funding source or to batch weatherization jobs.

[Effective Date: July 2017]

POLICY 1.2.1 PRIORITIZING ELIGIBLE WEATHERIZATION CLIENTS

1. Providing Weatherization Services:

Local agencies will provide weatherization program services to eligible households in their service area and ensure that those who want to apply have an opportunity to do so. Commerce recognizes the extensive variations in the availability of eligible clients and relies on the discretion of local agencies to judge local situations. See **Policy 1.2.2, *Searching for Eligible Weatherization Clients***.

2. Prioritizing Clients:

Local agencies must give priority for weatherization services to:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- a. Elderly (60 years of age or older).
- b. Persons with disabilities.
- c. Children nineteen years of age, or under.
- d. [High Residential Energy Users](#)
- e. [Households with High Energy Burden](#)
- f. Native American, with particular emphasis on households residing on reservations.

3. Giving Preference to Clients:

Local agencies may give preference for weatherization services to households meeting two or more of the priority criteria listed (e.g. elderly + households with high energy burden).

[

[Effective Date: July 2016]

POLICY 1.2.2 SEARCHING FOR ELIGIBLE WEATHERIZATION CLIENTS

1. Finding Applicants:

Local agencies must identify eligible Weatherization households in their service area.

2. Submitting Applications:

Local agencies must ensure that every applicant who wants to submit an application has an equal opportunity to apply.

3. Performing Outreach:

Local agencies must advertise the Weatherization Program to find eligible households in their service area. Outreach methods, include, but are not limited to:

- a. Informing organizations or advocacy groups that have a special interest in, or regular contact with, persons listed above.
- b. Arranging for applications to be taken by, or at the site of, those organizations or advocacy groups.
- c. Placing multi-lingual posters and materials describing the program in public areas and buildings.
- d. Placing TV and radio ads to reach people who cannot read and those with limited English skills.
- e. Providing interpreters for non-English speaking applicants or applicants with communication challenges.
- f. Working with energy vendors to provide customers with program information.

V.4 Climatic Conditions

See also 'V.4 Heating+Cooling+Degree+Days' in SF-424

The climate of Washington is a predominantly marine-type west of the Cascade Mountains, while east of the Cascades, the climate possesses both continental and marine characteristics. Considering its northerly latitude, Washington's climate is mild. West of the Cascade Mountains, summers are cool and comparatively dry and winters are mild, wet and cloudy. The range in annual precipitation is from 20 inches in an area northeast of the Olympic Mountains to 150 inches along the southwestern ("rain forest") slopes of the Olympics.

East of the Cascades, summers are warmer, winters are colder, and precipitation is less than in western Washington. Dry, continental air masses influence eastern Washington's climate. In the summer, this continental air results in low relative humidity and high temperatures, while in winter, clear, cold weather prevails. Annual precipitation ranges from seven inches near the confluence of the Snake and Columbia Rivers to 90 inches near the summit of the Cascade Mountains. In an average winter, frost in the soil can be expected to reach a depth of 10 to 20 inches.

From the Office of the Washington State Climatologist

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

<http://www.wrcc.dri.edu/narratives/WASHINGTON.htm>

CLIMATE OF WASHINGTON

TOPOGRAPHIC FEATURES – The location of the State of Washington on the windward coast in mid-latitudes is such that the climatic elements combine to produce a predominantly marine-type climate west of the Cascade Mountains, while east of the Cascades, the climate possesses both continental and marine characteristics. Considering its northerly latitude, 46° to 49°, Washington's climate is mild.

There are several climatic controls which have a definite influence on the climate, namely; (a) terrain, (b) Pacific Ocean, and (c) semi-permanent high and low pressure regions located over the North Pacific Ocean. The effect of these various controls combine to produce entirely different conditions within short distances.

Washington's western boundary is formed by the Pacific Ocean. The seasonal change in the temperature of the ocean is less than the seasonal change in the temperature of the land, thus the ocean is warmer in winter and cooler in summer than the adjoining land surfaces. The average temperature of the water along the coast and in the Strait of Juan de Fuca ranges from 45° in January to 53° F in July; however, during the summer, some of the shallow bays and protected coves are five to ten degrees warmer.

There are two ranges of mountains parallel to the coast and athwart to the prevailing direction of moist air moving inland from over the ocean. The first orographic lifting and major release of moisture occurs along the western slope of the Coastal Range. The second area of heavy orographic precipitation is along the windward slopes of the Cascade Range. The Cascade Mountains, 90 to 125 miles inland and 4,000 to 10,000 feet in elevation, are a topographic and climatic barrier separating the State into eastern and western Washington. The higher, wider and more rugged sections are in the northern part of the State. Some of the highest isolated volcanic peaks are Mt. Rainier (14,408 ft.), Mt. Adams (12,307 ft.) and Mt. Baker (10,730 ft.). These and other high peaks are snowcapped throughout the year. The only break in the Cascade Range is the narrow and scenic Columbia River gorge.

CLIMATIC FEATURES – Warming and drying of air as it descends along the lee (eastern) slopes of the Cascade Range results in near desert conditions in the lowest section of the Columbia Basin. Another orographic lifting of the air occurs as it flows eastward from the lowest elevations of the Inland Basin toward the Rocky Mountains. This lifting of air results in a gradual increase in precipitation from the lowest section of the basin to the higher elevations along the eastern border of the State.

The location and intensity of the semi-permanent high and low-pressure areas over the North Pacific Ocean have a definite influence on the climate. Air circulates in a clockwise direction around the semi-permanent high-pressure cell and in a counter-clockwise direction around the semi-permanent low-pressure cell. During the spring and summer, the low-pressure cell becomes weak and moves north of the Aleutian Islands. At the same time, the high-pressure area spreads over most of the North Pacific Ocean. A circulation of air around the high-pressure center brings a prevailing westerly and northwesterly flow of comparatively dry, cool and stable air into the Pacific Northwest. As the air moves inland, it becomes warmer and drier which results in a dry season beginning in the late spring and reaching a peak in mid-summer.

In the fall and winter, the Aleutian low-pressure center intensifies and moves southward reaching a maximum intensity in midwinter. At the same time, the high-pressure area becomes weaker and moves southward. A circulation of air around these two pressure centers over the ocean brings a prevailing southwesterly and westerly flow of air into the Pacific Northwest. This air from over the ocean is moist and near the temperature of the water. Condensation occurs as the air moves inland over the cooler land and rises along the windward slopes of the mountains. This results in a wet season beginning in October, reaching a peak in winter, then gradually decreasing in the spring.

Although the Cascade Range divides the State into two major climatic regions, there are several district climatic areas within each of these regions:

WESTERN WASHINGTON – West of the Cascade Mountains, summers are cool and comparatively dry and winters are mild, wet and cloudy. The average number of clear or only partly cloudy days each month varies from four to eight in winter, eight to 15 in spring and fall, and 15 to 20 in summer. The percent of possible sunshine received each month ranges from approximately 25 percent in winter to 60 percent in summer. In the interior valleys, measurable rainfall is recorded on 150 days each year and on 190 days in the mountains and along the coast. Thunderstorms over the lower elevations occur on four to eight days each year and over the mountains on seven to 15 days. Damaging hailstorms rarely, if ever, occur in most localities of western Washington. During July and August, the driest months, it is not unusual for two to four weeks to pass with only a few showers; however, in December and January, the wettest months, precipitation is frequently recorded on 20 to 25 days or more each month. The range in annual precipitation is from approximately 20 inches in an area northeast of the Olympic Mountains to 150 inches along the southwestern slopes of these mountains. Snowfall is light in the lower elevations and heavy in the mountains.

During the wet season, rainfall is usually a light to moderate intensity and continuous over a period of time rather than heavy downpours for brief periods. Maximum rainfall intensities to expect in one out of ten years are: .6 to 1.0 inch in one hour; 1.0 to 2.5 inches in three hours; 1.5 to 5.0 inches in six hours; and 2.0 to 7.0 inches in 12 hours. The heavier intensities occur along the windward slopes of the mountains.

During the latter half of the summer and early fall, the lower valleys are sometimes filled with fog or low clouds until noon, while at the same time, the higher elevations are sunny. The strongest winds are generally from the south or southwest and occur during the late fall and winter. In the interior valleys, wind velocities can be expected to reach 40 to 50 m.p.h. each winter and 75 to 90 m.p.h. once in 50 years. The daily variation in relative humidity in January is from approximately 87 percent at 4 a.m. to 78 percent at 4 p.m., and in July from 85 percent at 4 a.m. to 47 percent at 4 p.m. During periods of easterly winds, the relative humidity occasionally drops to 25 percent or lower. The highest summer and lowest winter temperatures are usually recorded during periods of easterly winds. The total evaporation for the warm season, May through September, as measured by a National Weather Service evaporation pan at Seattle, is 25 Inches with an average of seven inches in July.

In order to describe the climate of western Washington in more detail, the area has been divided into five regions.

WEST OLYMPIC-COASTAL – This area includes the coastal plains and the western slope of the Coastal Range from the Columbia River to the Strait of Juan de Fuca. The Olympic Mountains, located on the northern section of the Olympic Peninsula, tower to nearly 8,000 feet in the dome-like structures, deeply carved by

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

ivers. The Willapa Hills, elevation 1,000 to 3,000 feet, form a continuous ridge from the Chehalis River valley to the Columbia River. This area receives the full force of storms moving inland from over the ocean, thus heavy precipitation and winds of gale force occur frequently during the winter season. Wind velocities in the lower elevations can be expected to reach 90 to 100 m.p.h. once in 100 years. Wind data from a well exposed site on a ridge near the ocean, elevation 2,000 feet, indicates that wind velocities in excess of 100 m.p.h. occur in the higher elevations almost every winter.

The "rainforest" area along the southwestern and western slopes of the Olympic Mountains receives the heaviest precipitation in the continental United States. Annual precipitation ranges from 70 to 100 inches over the Coastal Plains to 150 inches or more along the windward slopes of the mountains. The greatest annual precipitation recorded in the "rainforest" area is 184 inches at Wynoochee Oxbow, elevation 600 feet. The heaviest rainfall during a single storm was 12 inches in 24 hours; 23.5 inches in 48 hours; 28.6 inches in 72 hours; and 35 inches in four days recorded at Quinalt Ranger Station, January 21-24, 1935. On Blue Glacier, elevation 6,900 feet and near the summit of Mt. Olympus, 149 inches of precipitation were recorded between August 1957 and July 1958. The total snowfall for this period was 542 inches. During the same period, precipitation at lower elevation stations was approximately 15 percent below normal.

Winter season snowfall ranges from 10 to 30 inches in the lower elevations and between 250 to 500 inches in the higher mountains. In the lower elevations, snow melts rather quickly and depths seldom exceed six to 15 inches. In midwinter, the snowline in the Olympic Mountains and the Willapa Hills is between 1,500 and 3,000 feet above sea level. The higher ridges are covered with snow from November until June. The average maximum temperature in July is near 70° F along the coast and 75° F in the foothills, and minimum temperatures are near 50° F. In winter, the warmer areas are near the coast. In January, maximum temperatures range from 43° to 48° and minimum temperatures from 32° to 38° F.

NORTHEAST OLYMPIC-SAN JUAN – This area includes the lower elevations along the northeastern slope of the Olympic Mountains extending eastward along the Strait of Juan de Fuca from near Port Angeles to Whidbey Island and then northward into the San Juan Islands. The Olympic Mountains and the extension of the Coastal Range on Vancouver Island shield this area from winter storms moving inland from over the ocean. This belt in the "rain shadow" of the Olympic Mountains is the driest area in western Washington. The average annual precipitation ranges from about 18 inches near Sequim, Port Townsend and Coupeville to between 25 and 30 inches in the vicinity of Everett on the east, Port Angeles on the west and Olga in the San Juan Islands on the north. Measurable precipitation is recorded on three to five days each month in summer and on 17 to 22 days in winter.

Another factor which distinguishes this belt from other localities in the Puget Sound region is the rate of rainfall. This area frequently receives drizzle or light rain while other localities are experiencing light to moderate rainfall. Snowfall is light in the lower elevations adjacent to the water, increasing with distance from the water and rise in terrain.

This area is considered to receive slightly more sunshine and have less cloudiness than other localities in Puget Sound; however, the difference is not in proportion to the decrease in precipitation. During the latter half of the summer and early fall, fog banks from over the ocean and Strait of Juan de Fuca result in considerable fog and morning cloudiness in the lower elevations.

The average July maximum temperature ranges from 65° F near the water to 70° or 75° F inland, and the minimum temperature is near 50° F. Maximum temperatures seldom exceed 90° F. In January, maximum temperatures are in the 40's and minimums in the lower 30's. Minimum temperatures between -5° and -8° F have been recorded; however, the minimum temperature seldom drops below 15° to 20° F. The coldest weather is usually associated with an outbreak of cold air from the interior of Canada. The average date of the last freezing temperature in the spring ranges from the latter half of March near the water to the last of April in agricultural areas 100 to 300 feet above sea level and a few miles inland. The first freezing temperature in the fall is about the first of November.

PUGET SOUND-LOWLANDS – This area includes a narrow strip of land along the west side of Puget Sound southward from the Strait of Juan de Fuca to the vicinity of Centralia and Chehalis and a somewhat wider strip along the east side of the Sound extending northward to the Canadian Border. Variations in the temperature, length of the growing season, fog, rainfall and snowfall are due to such factors as distance from the Sound, the rolling terrain and air from over the ocean reaching this area through the Strait of Juan de Fuca and the Chehalis River valley. Occasionally in the winter season, cold air from the interior of Canada flows southward through the Fraser River canyon and over the northern Puget Sound lowlands.

The prevailing directions of the wind is south or southwest during the wet season and northwest in summer. The average wind velocity is less than 10 m.p.h. Although this is the most densely populated and industrialized area in the State, there is sufficient wind most of the year to disperse air pollutants released into the atmosphere. Air pollution is usually most noticeable in the late fall and winter season, under conditions of clear skies, light wind and a sharp temperature inversion. These conditions only prevail a few days before a weather system moves through removing the pollution by wind and rain.

Annual precipitation ranges from 32 to 35 inches from the Canadian Border to Seattle, then gradually increases to 45 inches in the vicinity of Centralia. The winter season snowfall ranges from 10 to 20 inches. Both rainfall and snowfall increase with a slight increase in elevation and distance from the Sound. Snow generally melts rather quickly and depths seldom exceed six to 15 inches. The greatest snow depth recorded in Seattle is 29 inches. Most of this area is near the eastern edge of the "rain shadow" of the Olympic Mountains.

The average January maximum temperature ranges from 41° to 45° F and minimum temperatures from 28° to 32° F. With an increase in distance from the Sound, winter temperatures decrease and summer temperatures increase. Minimum temperatures ranging from 0° to -10° F have been recorded; however, temperatures seldom drop lower than 10° to 15° F. During July, the average maximum temperature ranges from 73° F near the Canadian Border to 78° F in the vicinity of Olympia, and the minimum temperature is near 50° F. Maximum temperatures have reached 100° F; however, in an average summer, 90° or higher is only recorded on three to five days. The growing season is from the latter half of April until the middle of October.

EAST OLYMPIC-CASCADE FOOTHILLS – This area includes foothills along the eastern slope of the Coastal Range, foothills along the western slope of the Cascade Mountains and the valley separating these ridges from the vicinity of Chehalis to the Columbia River. The easterly movement of moist air from over the ocean produces down slope winds in foothills along the eastern slope of the Coastal Range and upslope winds in the foothills along the western slope of the Cascade Mountains. Precipitation is heavier along the windward slopes than in the valley or along the lee slopes. The average annual precipitation ranges from 40 inches in the lower valleys near the Columbia River to 90 inches at stations 800 to 1,000 feet above sea level and along the western slope of the Cascade Range. Annual snowfall increases from less than 10 inches in the lower valleys to 50 inches in elevations 500 to 800 feet.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

The Columbia River gorge permits an exchange of air between eastern and western Washington. The direction and speed of air movement through the gorge is determined primarily by the pressure gradient between the eastern and western slopes of the mountains. In summer, the flow of air is usually from west to east, and in winter from east to west. During the winter season, easterly winds in the gorge sometimes reach gale force. Rather severe ice storms or "silver thaws," as they are frequently called, occur in a narrow area westward from the gorge to the vicinity of Vancouver. The "silver thaws" are the result of rain falling through a layer of cold air flowing westward through the gorge.

In January the average maximum temperature ranges from 38° to 45° F, and the minimum from 25° to 32° F. Minimum temperatures have dropped to between 0° and -15° F; however, minimum temperatures lower than 5° to 10° F occur infrequently. In July the average maximum temperature ranges from 75° to 80° F and the minimum is near 50° F. Maximum temperature have reached 100° to 105° F; however, it is unusual for afternoon temperatures to exceed 90° on more than eight to 15 days in the summer season. The hottest weather occurs during periods of dry easterly winds. The average date of the last freezing temperature in the spring ranges from the middle of April in the warmer valleys to the middle of May in the colder localities. In the fall freezing temperatures can be expected after the middle of October.

CASCADE MOUNTAINS-WEST – This area includes the western slope of the Cascade Range from an elevation of approximately 1,000 feet to the summit and extending from the Columbia River to the Canadian Border. Daily temperatures and precipitation reporting stations have been limited to elevations below 5,500 feet. Snow course measurements consisting of snow depth and water content of the snow pack are available for some of the higher elevations. Orographic lifting of the moisture-laden southwesterly and westerly winds results in heavy precipitation in this area. The annual precipitation ranges from 60 to 100 inches or more. Indications are that the heaviest precipitation probably occurs along the slopes of east-west mountain valleys which become more narrow as the elevation increases along the windward slopes of the Cascades. Annual precipitation in some of the wetter areas has reached 140 inches in one out of ten years.

The average winter season snowfall ranges from 50 to 75 inches in the lower elevations, gradually increasing with elevation to between 400 and 600 inches at 4,000 to 5,500 feet. Some of the greatest seasonal snowfalls and snow depths in the United States have been recorded on the slopes of Mt. Rainer and Mt. Baker. The greatest seasonal snowfall recorded at Mt. Rainer-Paradise Ranger Station (elevation 5,500 ft) was 1,000 inches in 1955-56. These and other high peaks above 7,000 or 8,000 feet remain snowcapped throughout the summer. Snowfall usually begins in the higher elevations in September, gradually working down to 3,000 feet by the last of October. The snowline in midwinter varies from 1,500 to 2,000 feet above sea level. Although snowfall continues until late spring, the maximum depth is usually reached during the first half of March. At this season of the year, snow depths above 3,000 feet range from 10 to 25 feet. The density of the snow pack increases from approximately 30 percent water the first of December to 45 percent water in March. In elevation above 5,000 feet, snow remains on the ground until the last of June or first of July.

The average January maximum temperature ranges from 40° F in the lower elevations to 30° F at the 5,500-foot elevation. Minimum temperatures range from 30° F in the lower elevations to 20° F in the higher elevations. Minimum temperatures from 0° to -17° F have been recorded in the higher elevations to the lower 60's in the higher elevations. The minimum temperature is in the 40's. Above 4,000 feet minimum temperatures occasionally drop below freezing in midsummer. In general, the temperature decreases approximately 3° F with each 1,000 feet increase in elevation.

EASTERN WASHINGTON – This section of the State is part of the large inland basin between the Cascade and Rocky Mountains. In an easterly and northerly direction, the Rocky Mountains shield the inland basin from the winter season's cold air masses traveling southward across Canada. In a westerly direction, the Cascade Range forms a barrier to the easterly movement of moist and comparatively mild air in winter and cool air in summer. Some of the air from each of these source regions reaches this section of the State and produces a climate which has some of the characteristics of both continental and marine types. Most of the air masses and weather systems crossing eastern Washington are traveling under the influence of the prevailing westerly winds. Infrequently, dry continental air masses enter the inland basin from the north or east. In the summer season this air from over the continent results in low relative humidity and high temperatures, while in winter clear, cold weather prevails. Extremes in both summer and winter temperatures generally occur when the inland basin is under the influence of air from over the continent.

East of the Cascades, summers are warmer, winters are colder and precipitation is less than in western Washington.

The average number of clear or only partly cloudy days each month varies from five to 10 in winter, 12 to 18 in spring and fall, and 20 to 28 in summer. The percent of possible sunshine received each month is from 20 to 30 percent in winter, 50 to 60 percent in spring and fall and 80 to 85 percent in summer. The number of hours of sunshine possible on a clear day ranges from approximately eight in December to 16 in June. In the driest areas, rainfall is recorded on 70 days each year and on 120 days or more in the higher elevations near the eastern border and along the eastern slope of the Cascades.

Annual precipitation ranges from seven to nine inches near the confluence of the Snake and Columbia Rivers, 15 to 30 inches along the eastern border and 75 to 90 inches near the summit of the Cascade Mountains. During July and August, it is not unusual for four to eight weeks to pass with only a few scattered showers. Thunderstorms can be expected on one to three days each month from April through September. Most thunderstorms in the warmest months occur as isolated cells covering only a few square miles. A few damaging hailstorms are reported each summer. Maximum rainfall intensities to expect in one out of ten years are .6 of an inch in one hour; 1.0 inch in three hours; 1.0 to 1.5 inches in six hours; and 1.2 to 2.0 inches in 12 hours.

During the coldest months, a loss of heat by radiation at night and moist air crossing the Cascades and mixing with the colder air in the inland basin results in cloudiness, fog and occasional freezing drizzle. A "chinook" wind which produces a rapid rise in temperature occurs a few times each winter. Frost penetration in the soil depends to some extent on the vegetative cover, snow cover and the duration of low temperatures. In an average winter, frost in the soil can be expected to reach a depth of 10 to 20 inches. During a few of the colder winters with little or now snow cover, frost has reached a depth of 25 to 35 inches.

During most of the year, the prevailing direction of the wind is from the southwest or west. The frequency of northeasterly winds is greatest in the fall and winter. Wind velocities ranging from four to 12 m.p.h. can be expected 60 to 70 percent of the time; 13 to 24 m.p.h., 15 to 24 percent of the time; and 25 m.p.h or higher, one to two percent of the time. The highest wind velocities are from the southwest or west and are frequently associated with rapidly moving weather systems. Extreme wind velocities at 30 feet above the ground can be expected to reach 50 m.p.h. at least once in two years; 60 to 70 m.p.h. once in 50 years and 80 m.p.h. once in 100 years.

During the growing season, April through September, the average evaporation from a Class A evaporation pan is from 35 to 52 inches. Monthly evaporation is midsummer ranges from nine to 12 inches. Annual evaporation from lakes and reservoirs is estimated at 26 inches in the mountains and 34 to 42 inches in other

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

localities. The average relative humidity in January is approximately 85 percent at 4 a.m. and 75 percent humidity at 4 p.m. and in July, 65 percent at 4 a.m. and 27 percent at 4 p.m.

In order to describe the climate in more detail, eastern Washington has been divided into five sections:

EAST SLOPE-CASCADES – This area extends from the summit of the Cascades eastward for distances varying from 25 to 75 miles and from the Canadian Border to the Columbia River. In an easterly direction, the elevation decreases from the summit of the Cascade Range to approximately 2,000 feet above sea level. One of the outstanding features of the climate is the decrease in precipitation along the eastern slope of the mountains as the distance from the summit increases and the elevation decreases. For example, within a distance of 20 miles, the average annual precipitation decreases from 92 inches at Stampede pass (elevation 3,958 ft.) to 22 inches at Cle Elum (elevation 1,920 ft.).

The average winter season snowfall decreases from approximately 400 inches near the summit of the mountains to about 75 inches at 2,000 feet above sea level. In elevations above 3,000 feet snow can be expected in October; however, it generally does not accumulate on the ground until after the first of November. In the lower elevations snow reaches a depth of two to five feet in January or February and in the higher elevations, 10 to 20 feet by the first of March. The density of the snow pack increases from approximately 30 percent water at the beginning of the winter season to 45 percent water by mid-March. In the higher elevations, snow remains on the ground until June or July. Several large irrigation reservoirs are located in valleys along the eastern slope of the Cascades. Melting of the snow provides irrigation water for orchards and other agricultural areas in the Okanogan, Wenatchee, Methow, Yakima and Columbia River valleys.

The average January maximum temperature varies from 25° to 35° F and the minimum temperature from 15° to 25° F. Minimum temperatures ranging from 0° to -15° F are recorded almost every winter and minimum temperatures have dropped to -30° F in the colder valleys. In July the average maximum temperature ranges from 70° to 85° F and the minimum temperature from 45° to 50° F. In the lower elevations, maximum temperatures exceed 90° F on 15 to 20 days each summer, and 80° F or higher is usually recorded in the higher elevations. In elevations below 3,000 feet, maximum temperatures have reached 100° to 105° F. A cool mountain breeze in the late afternoon results in rapid cooling after sunset.

OKANOGAN-BIG BEND – This area includes fruit producing valleys along the Okanogan, Methow and Columbia Rivers, grazing land along the southern Okanogan highlands, the Waterville Plateau and part of the channeled scablands. The elevation varies from approximately 1,000 feet in the lower river valleys to 3,000 feet over the Waterville Plateau and Okanogan highlands. North-south ranges of mountains extending into southern British Columbia reach elevations of 4,000 to 5,000 feet within a few miles of the Okanogan River. The annual precipitation increases from 11 inches in the valley to 16 inches over some of the Plateau. Winter season snowfall varies from 30 to 70 inches. Both rainfall and snowfall increase in the higher elevations. Snow can be expected after the first of November and to remain on the ground from the first of December until March or April. Snow accumulates to a depth of 10 to 20 inches in the valleys and over the Waterville Plateau, increasing to 40 inches in the higher grazing areas.

The average January maximum temperature is between 28° to 32° F and the minimum temperature varies from 15° to 20° F. Minimum temperatures from 0° to -15° F are recorded on a few nights each winter and -30° has been recorded in the colder localities. Occasional outbreaks of cold air from Canada moving southward through the valleys result in a late spring or early fall freeze. In July the average maximum temperature is between 85° to 90° F, and the minimum is in the lower 50's. Maximum temperatures reach 100° F or higher on a few afternoons each summer, and 105° to 113° F have been recorded. Thunderstorms occur on 10 to 15 days each summer, and a few damaging hailstorms are reported in the fruit-producing valleys.

The average date of the last freezing temperature in the spring is the latter half of April in the warmer fruit-producing valleys along the Columbia and Okanogan Rivers, the middle of May in the colder valleys along the Wenatchee and Methow Rivers and the last of May over the Waterville Plateau and the higher rangelands. The first freezing temperature in the fall usually occurs in the latter half of September on the Waterville Plateau and by the middle of October in the warmer fruit-producing valleys.

CENTRAL BASIN – The Central Basin includes the Ellensburg valley, the central plains area in the Columbia basin south from the Waterville Plateau to the Oregon border and east to near the Palouse River. The elevation increases from approximately 400 feet at the confluence of the Snake and Columbia Rivers to 1,300 feet near the Waterville Plateau and 1,800 feet along the eastern edge of the area. This is the lowest and driest section in eastern Washington. Annual precipitation ranges from seven inches in the drier localities along the southern slopes of the Saddle Mountains, Frenchman Hills and east of Rattlesnake Mountains, to 15 inches in the vicinity of the Blue Mountains. Summer precipitation is usually associated with thunderstorms. During July and August, it is not unusual for four to six weeks to pass without measurable rainfall.

The winter season snowfall is from 10 to 35 inches. Snow can be expected after the first of December and to remain on the ground for periods varying from a few days to two months between mid-December and the last of February. Other than in the Ellensburg valley, snow depths seldom exceed eight to 15 inches. The Central Basin is subject to "chinook" winds which produce a rapid rise in temperature. A few damaging hailstorms are reported in the agricultural areas each summer.

The average January maximum temperature is near 30° F in the colder localities in the Columbia Basin and 40° F in the lower Yakima valley, and minimum temperatures are between 15° to 25° F. Minimum temperatures between 0° to -10° F are recorded almost every winter and temperatures from -15° F to -30° F have been recorded.

In July the average maximum temperature is in the lower 90's, and the minimum temperature is in the upper 50's. The recorded high temperature for the State, 118° F, was recorded on July 24, 1928, at Wahluke, located along the southern slope of the Saddle Mountains and again on August 5, 1961, at Ice Harbor Dam on the Snake River. Maximum temperatures reach 100° to 105° on a few afternoons each summer. The last freezing temperature in the spring occurs during the latter half of April in the Yakima valley and the latter half of May in the colder localities of the Columbia Basin. The first freezing temperature in the fall is usually recorded between mid-September and mid-October.

NORTHEASTERN – The northeastern and higher elevations of the Okanogan highlands, the Selkirk Mountains, and the lower elevations southward to the vicinity of the Spokane River are included in the northeastern area. Ranges of mountains in this section of the State are separated by narrow north-south valleys. The elevation increases from 2,000 feet in the valleys to 6,000 feet along the higher ridges. Most of the temperature and precipitation records are from stations located in the valleys. The average annual precipitation increases in a northeasterly direction from 17 inches in the Spokane area to 28 inches in the northeastern corner of the State.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Winter season snowfall in the valleys varies from 40 to 80 inches. Both rainfall and snowfall increase along the slopes of the mountains. Snow can be expected in the higher elevations in October and in the lower valleys by the last of November. In the lower elevations, snow reaches a depth of 15 to 30 inches and remains on the ground most of the time from the first of December until March. The few snow survey reports available for elevation above 5,000 feet indicate six to eight feet of snow on the ground the first of April and four to five feet the first of May.

Cold continental air moving southward through Canada will occasionally cross the higher mountains and follow the north-south valleys into the Columbia Basin. On clear, calm winter nights, the loss of heat by radiation from over a snow cover produces ideal conditions for low temperatures. The lowest temperature in the State, -48° F, was recorded December 30, 1965, at Mazama and Winthrop. In January, the average maximum temperature is near 30° F and the minimum temperature is 15° F. Minimum temperatures from -10° to -20° F are recorded almost every winter and temperatures ranging from -25° to -42° F have been recorded in the colder valleys. In July, the average maximum temperature is 85° to 90° and the minimum temperature 45° to 50° F. Maximum temperatures reach 100° F on a few afternoons each summer and temperatures between 105° to 110° F have been recorded. The record high temperature of 118° F was recorded at Ice Harbor Dam on August 5, 1961. Temperatures in the mountains decrease three to five degrees Fahrenheit with each 1,000 feet increase in elevation. The average date of the last freezing temperatures can be expected in the colder valleys by the first of September and before mid-October in the warmer areas.

PALOUSE-BLUE MOUNTAINS – This area includes counties along the eastern border of the State south from Spokane to the Oregon border and west to near Walla Walla. The elevation increases from 1,000 feet in the vicinity of Walla Walla to 3,500 feet in the Palouse Hills and to 6,000 feet in the Blue Mountains. Precipitation increases as the elevation increases in an easterly direction across this area. Annual precipitation is between 10 to 20 inches over most of the agricultural section increasing to 40 inches or more in the higher elevations of the Blue Mountains. The average winter season snowfall varies from 20 to 40 inches. Snow can be expected in November and to remain on the ground from periods ranging from a few days to two months between the first of December and March. Snowfall and the depth on the ground increase along the slopes of the mountains.

The average January maximum temperature is near 34° F in the Palouse Hills and 38° in the Snake and Walla Walla River valleys. The average minimum temperature varies from 20° to 25° F. Minimum temperatures between 0° and -15° F are recorded on a few nights each winter and temperatures ranging from -25° to -35° F have been recorded. In July, the average maximum temperature is in the upper 80's and the minimum is in the mid -50's. Maximum temperatures usually reach 100° F on a few afternoons and temperatures from 105° to 112° F have been recorded.

The last freezing temperature in the spring is the last of April in the Walla Walla and Snake River valleys and the last of May in the Palouse Hills. The first freezing temperatures usually occur the last of September or first of October.

RIVERS – The Columbia River, draining approximately 259,000 square miles in the Pacific Northwest and second only to the Mississippi River in volume flow, enters near the northeastern corner of the State and flows in a semi-circular pattern through eastern Washington. Before reaching the Pacific Ocean, it forms most of the boundary between Washington and Oregon, draining all of eastern Washington and the western slope of the Cascade Mountains between Mt. Rainier and the southern border. In addition to providing water for vast irrigation and hydroelectric projects, the Columbia River is a navigable stream for ocean vessels to ports at Vancouver and Portland and for river barges into eastern Washington. Principal tributaries of the Columbia in Washington include the Pend Oreille, Spokane, Snake and Cowlitz Rivers.

Although some overflow may be expected in Washington in most years, severe flooding occurs infrequently. In recent years, the most severe flooding in the Columbia River basin occurred in 1948 and 1950, while some of the other notable flood years have been 1894, 1897, 1913, 1916, 1928 and 1933.

In the Columbia River basin in eastern Washington, winter floods are rare. They may occur at times, however, especially in local areas as a result of a combination of moderate snow cover, warm southerly winds and heavy rains. Annual peak flows occur in the spring and early summer as the winter snow pack melts.

In western Washington, the Snoqualmie, Skagit, Stillagumish, Chehalis and other streams drain into Puget Sound, the Strait of Juan de Fuca and the Pacific Ocean. There are two periods of high flow in the streams of western Washington, especially in the Puget Sound region and in the Cowlitz River basin. One occurs during the winter months coinciding with the periods of maximum precipitation, and the other in the spring or early summer caused by the seasonal rise in temperature with the resultant melting of snow accumulations in the higher elevations augmented at times by rainfall. In western Washington, some of the most significant overflow occurred in 1909, 1917, 1921, 1932, 1933, 1934, 1951, and 1959.

FORESTRY AND AGRICULTURE – Land utilization is determined to a large extent by the terrain, soil and the climate. The mountainous areas over the entire State and a major portion of the lowlands west of the Cascades are in timber. Forest vegetation varies from the large Douglas fir, spruce, hemlock and cedar with a dense undergrowth of fern and moss in the rainforest on the Olympic Peninsula, to the open stands of Ponderosa pine in eastern Washington. Lumbering and forestry management are major activities in many areas.

West of the Cascades, agriculture is confined to the river valleys and well-drained areas in the Puget Sound lowlands. The climate is favorable for growing berry crops, cool season vegetable crops, flower bulbs, certified seed potatoes and grass. Dairying and poultry production are important sources of income to the Puget Sound area. Reservoirs on the windward slopes of the mountains provide an abundance of water for metropolitan areas, and hydroelectric projects have been developed along several rivers.

The major agricultural areas are in eastern Washington. Agriculture is highly specialized in some localities and diversified in others. The fruit producing areas are in irrigated valleys along the Okanogan, Columbia, Wenatchee and Yakima Rivers. The Okanogan highlands, northeastern valleys and channeled scablands are devoted to grazing. The major wheat producing areas include the Big Bend, Waterville Plateau, Palouse Hills and Horse Heaven Hills. Dry land farming practices are generally followed in the small grain section. In addition to the older irrigated sections of the Yakima and Walla Walla valleys, a major irrigation project has been developed in the Central Basin. The more important crops grown in the irrigated sections include sugar beets, potatoes, alfalfa, corn, onions, beans, peppermint, spearmint, hops and a variety of vegetable crops.

Ordinarily, drought is not a problem in Washington agriculture. The dry season begins at approximately the same time each summer and agricultural activities are planned accordingly.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

RECREATION – Tourist business and recreational activities are rapidly becoming an important source of income. The climate, mountains, ocean beaches, lakes, rivers, national parks and forest areas permit a vast range of recreational activities. In the mountains the ski season begins in November and continues until late spring. The season for camping, hiking and fishing in the higher mountain lakes and streams begins as the snow melts and continues until early fall.

In the fall hunters flock to the mountains seeking their limit of deer, elk and other game, while those looking for birds scatter over the lowlands. In summer the numerous lakes and warm sunny days east of the Cascades are inviting to many, while to others the cooler marine air and ocean beaches in western Washington are a welcome relief from summer heat in other sections of the county.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Commerce released the 2020 version of the Policy Manual on January 1, 2021.

All DOE funded work will be performed in accordance to the DOE approved energy audit procedures and 10 CFR 440 Appendix A. On May 6, 2015 Washington State received Supplemental DOE Approval of LED lighting as an allowable weatherization materials.

As of July 1, 2015 the Specifications and Standards sections were removed and grantees were directed to utilize the DOE approved Single Family Washington Weatherization Field Guide.

Washington updated the field guide to include manufactured homes which went into effect as of 7/1/16. Washington added a field guide for Multifamily Homes which went into effect as of 6/25/19. Our most recent DOE approval for alignment with the SWS is dated 7/2/19 with a variance approval dated 8/1/19.

Grantees are provided access to the field guide via our Weatherization SharePoint site and website. SharePoint is a web application so grantees are able to access the most current version at all times. <http://www.commerce.wa.gov/growing-the-economy/energy/weatherization-and-energy-efficiency/weatherization-program-documents/>

The Building Performance Center (BPC) is leading the state's efforts in creating the Washington field guides and is lead on providing training for grantees. In May 2019, Commerce and the BPC hosted the annual Monitor Inspector Workshop where the BPC provided hands-on training for the single family field guide. Additional training will be provided through BPC to use the manufactured home field guide. The BPC also provides training via the Peer Circuit Rider Program in which staff can go on-site anywhere in Washington to provide one-on-one training for local agencies, tribes, and their subcontractors.

Agencies sign a Certification Form indicating they will adhere to WPN 15-4 when they sign their grant for PY2017.

Washington State Weatherization Application 2016 – 2017
Quality Work Plan Requirements from WPN 15-4

Requirement #1 – Field Standards for Sub-grantees

In 2014, Commerce thoroughly investigated the specific relationships between existing Washington Specifications and the Standard Work Specifications (SWS). From this effort Commerce identified three types of content: policy, equivalent content, and more stringent content. Commerce moved policy content to the Policy Manual and deleted equivalent content in the Washington Specifications and Standards. Commerce selected some of the more stringent content type for deletion and tagged the remainder for inclusion in the Washington State Weatherization Field Guide.

Also in 2014, Commerce worked with a team of volunteers from weatherization network throughout Washington to review the SWSs and identify which apply to the Washington weatherization program. A total of 27 variances were submitted and approved by DOE for the Washington state standards and field guide. The water heater pan variance was identified as a best practice by DOE and used as an example for the program nationally.

Only the SWSs allowed by DOE WAP rules and Commerce policy will apply to the program. Commerce has communicated this concept to those Local Agencies that are concerned about complying with all of the SWSs. On July, 1, 2015 Commerce implemented a revised Weatherization Manual and Field Guide and all Local Agencies are required to follow the guidance of these documents.

Requirement #2 – Field Guides

The Washington version of the completed single family field guide, Retrofitting Washington, was implemented on July 1, 2016 and is used by all Local Agencies.

In April, 2015 the Building Performance Center (BPC) provided an introduction to the field guide course and the mandatory Auditor/Inspector Workshop. The BPC provides training to all current Local Agencies including their available subcontractors to ensure compliance with the requirements of the SWS. Additional training on use of the field guide is offered via webinar and long distance learning video conference technology.

The field guides are provided to grantees via our SharePoint site. SharePoint is a web application so grantees will be able to access the most current version at all times.

Requirement #3 – Technical Requirements for Local Agencies and Contractors

The Department of Commerce has fully implemented the requirements of WPN 15-4, Technical Guides and Standards, as of July 1, 2015.

The 2017 Weatherization Manual includes policies, procedures and forms relevant to this implementation.

Furthermore, the following language is inserted in the Subgrantee and contractor agreements that indicates the signatory's responsibility to perform work to the specifications outlined in WPN 15-4 and any other grantee requirements:

10. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION—PRIMARY AND LOWER TIER COVERED**

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

TRANSACTIONS

- A. Grantee, defined as the primary participant and its principals, certifies by signing these General Terms and Conditions that to the best of its knowledge and belief they:
1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency.
 2. Have not within a three-year period preceding this Grant, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction, violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice;
 3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of federal Executive Order 12549; and
 4. Have not within a three-year period preceding the signing of this Grant had one or more public transactions (Federal, State, or local) terminated for cause of default.
- B. Where the Grantee is unable to certify to any of the statements in this Grant, the Grantee shall attach an explanation to this Grant.
- C. The Grantee agrees by signing this Grant that it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Commerce.
- D. The Grantee further agrees by signing this Grant that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," as follows, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions:

LOWER TIER COVERED TRANSACTIONS

- a) The lower tier contractor certifies, by signing this Contract that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - b) Where the lower tier contractor is unable to certify to any of the statements in this Contract, such contractor shall attach an explanation to this Contract.
- E. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, person, primary covered transaction, principal, and voluntarily excluded**, as used in this section, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact Commerce for assistance in obtaining a copy of these regulations.

Requirement #4 – Receipt of Technical Requirements Documentation and Follow-up

To confirm Local Agencies' receipt of technical requirements, Commerce included the following Certification Form to the PY2015 grant signed by the Executive Director and Program Manager. This certification form will also be included in the PY2017 grant:

Certification Form

The Grantee, defined as the primary participant in accordance with 45 CFR Part 76, and its principals, certifies by signing this section that to the best of its knowledge and belief that the:

1. Agency WAP staff have received training on how to use and will stay current on the Field Guide requirements.
2. Agency WAP staff has reviewed the "Precedence Section" of the 2015 Weatherization Manual.
3. Agency WAP staff will provide Commerce a plan for meeting both the Auditor/Inspector separation and final inspections being completed by an independent QCI with this signed grant.
4. Agency WAP staff will develop and implement a plan for informing all weatherization subcontractors of the above SWS requirements and required use of the Washington State Weatherization Field Guide. Agency understands that Commerce will monitor this requirement.
5. Agency WAP staff will notify Commerce within 10 days of losing a QCI or the ability to separate Auditor and Inspector duties. If the agency cannot maintain compliance with Auditor/Inspector separation, Agency WAP will provide Commerce with a plan for having units' final inspection completed by an independent QCI or submit a waiver request to Commerce. This "separation waiver" requires grantees to be monitored at a rate of 10% instead of the standard 5% rate.

Executive Director Signature _____ Date _____

Program Manager Signature _____ Date _____

Where the Local Agency is unable to certify to any of the statements in this Grant, the Local Agency shall attach an explanation to this Grant. Commerce will review this explanation, deem its appropriateness, and take action as necessary.

Requirement #5 – Specifications Referenced in Subcontractors' Contracts

Local Agencies will be required to include language in subcontractors agreements and/or contracts that clearly documenting the specifications for the quality work requirement based on the SWSs and field guides.

Requirement #6 – Consistency of Work with Grantee Standards and Field Guides

Washington State requires all completed units, completed after July 1, 2015, inspected for compliance to the SWS, signed off by a BPI-certified Quality Control Inspector (QCI) and monitored by QCI certified staff.

Requirement #7 – QCI Standards

For several years Commerce required Building Analyst 1 certification for state monitors. Commerce has three QCI-certified Monitoring & Compliance (M&C) staff and one additional staff person in the process of completing QCI training and certification. Commerce has aligned current job descriptions for M&C staff to include QCI certification or the ability to achieve the certification during the

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

probationary period.

Requirement #8 – Units Reported Meet Quality Guidelines

Commerce ensures that the work quality guidelines required to be followed by Quality Control Inspectors (QCI) are understood and implemented in their Local Agency inspections by:

- Verifying Local Agencies have a QCI on staff or a plan for QC inspections through Certification Form signed with PY2015 & PY2016 grants.
- Verifying Local Agencies have inspection forms that 1) assess the measures installed were appropriate and in accordance with Commerce's audit procedures, and 2) all work met the required standards. (Commerce has developed a statewide required QCI form which is in the pilot phase as this time. Full implementation of this form will take place as of 7/1/17)
- Validate final inspection forms are signed by a certified QCI during monitoring visits.

Requirement #9 – Final Inspection and Monitor Certification in Client Files

For all projects monitored by Commerce, we require two inspection certification forms in client files: one signed by the certified Local Agency QCI (required for every project) and one signed by the Washington State M&C QCI certified staff who completed the unit inspection (required for projects monitored by Commerce only).

Requirement #10 – Protocols for Grantee Monitoring Ensuring Work Quality

In order to ensure that the work performed by the WAP meets the criteria outlined under the Work Quality section of this guidance, Commerce has an audit review procedure included our current unit inspection workflow. In addition, Commerce has worked with the network and the Building Performance Center to establish guidelines for audit review for completeness and accuracy. During the monitoring visit, monitors will also verify contractor/subcontractor agreements contain language which clearly documents the specifications for the quality work requirement based on the SWSs and field guide.

Requirement #11 – Independent Auditor/QCI Grantee Inspection Responsibilities

It is Commerce's expectation that all Local Agencies comply with the separation of Auditor and QCI duties. Grantees must provide a plan to Commerce with their signed DOE grant indicating how they will comply with this requirement. Commerce recognizes small Local Agencies may not be able to have separation of duties between Auditors and QCIs. In specific circumstances, Commerce may allow these Local Agencies to not have separation of duties. If Commerce deems it appropriate for an agency to not have separation between the Auditor/Inspector roles, Commerce will increase the Local Agency's monitoring to a minimum of 10%. Local agencies granted this waiver are required to resubmit the request annually. The waiver may be revoked at any time by the Department of Commerce if work quality issues are discovered during monitoring. Currently two agencies have been granted a separation waiver.

Requirement #12 – Quality Assurance for Auditor/QCI Roles

As of July 1, 2015, Local Agencies were required to ensure all homes receive an independent final inspection by someone certified as a QCI. Local Agencies that are unable to have separation between Auditors and Quality Control Inspectors will have a minimum of 10% completed production inspected as required by DOE.

Requirement #13 – Quality Inspection Requirement for QCI

Whether Local Agencies have a staff QCI, hires for a 3rd party QCI, or is provided a QCI by a partnering agency, the Local Agency is ultimately responsible for ensuring all Quality Control Inspections meet the standard work qualifications outlined in the Washington State Field Guide. Local Agencies will be required to cover all unallowable costs due to substandard weatherization work. When Commerce identifies substandard work, they will use the opportunity to provide technical assistance to grantees. If the Inspector is part of a pooled QCI group (shared QCI staff among multiple Local Agencies), Commerce will connect with all Local Agencies to understand the circumstances. If Inspectors receive three inspection findings for substandard work, they will receive additional monitoring and provided targeted technical assistance.

Requirement #14 – Non-Standard QCI Inspection Policy Requirements

Commerce does not intend to create a Quality Control Inspection policy that differs from the standard options defined by DOE. Commerce plans to comply with the DOE requirements defined as Option 1-Independent QCI by requiring Local Agencies to have all homes receive independent QCI inspections. This can be done by staff QCI or a contracted QCI. While Commerce strive to have all homes receive an independent QCI inspections, grantees who are unable to have Auditor/Inspector separation will receive increased monitoring as described in Requirement #12. Local Agencies who lose their QCI staff/subcontractor must inform Commerce within 10 days and provide a plan for having units receive final inspections by an independent QCI. If there is a gap in the separation duties based on an emergent, exigent situation Commerce will increase monitoring to 10%.

Requirement #15 – Guarantee of Sufficient Certified Individuals

In the 2014 program year, the BPC offered training for the Quality Control Inspector credential one to two times a month. As of January, 2017 the Building Performance Institute indicates 64 people in Washington have the QCI credential. During PY2017 the BPC will continue to provide QCI training on a quarterly basis or when needed. Commerce will ensure Local Agencies have access to QCI training and will keep informed of network QCI capacity on an ongoing basis.

Requirement #16 – Comprehensive Training for All WAP Workers

Comprehensive Weatherization Assistance Program Training

Comprehensive training as defined in WPN 15-4 is: Comprehensive, occupation-specific training which follows a curriculum aligned with the NREL Job Task Analysis (JTA) for that occupation.

In December of 2013 the BPC achieved Interstate Renewable Energy Council (IREC) accreditation as a weatherization training provider. The BPC is IREC-accredited to provide comprehensive training in support of the Quality Control Inspector (QCI) and Crew Lead job designations and credentials.

Our third party training contractor, will provide comprehensive, occupation targeted training, which follows a curriculum aligned with the JTA (Job Task Analysis) for that occupation. These trainings will be administrated by, or in conjunction with, a training program accredited by a DOE-approved accreditation organization for the specific JTA being taught. Comprehensive training to include but not limited to:

- Energy auditor

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- Quality Control Inspector
- Retrofit Installer

Specific Weatherization Assistance Program Training

Specific training as defined by DOE, is single-issue, short-term training to address acute deficiencies in the field. BPC specific trainings include:

- Blower Door/Pressure Diagnostics/House as a System
- Shell Measures/Air Sealing/Dense Pack/Insulation
- Combustion Safety Testing
- Combustion Safety Daily Test Out
- Indoor Air Quality/Ventilation
- Auditor Training/BPI Certification Preparation
- Single Family TREAT Computerized Audit
- Multifamily TREAT Computerized Audit
- Heating Systems
- Mobile Home Weatherization Techniques and Best Practices
- ASHRAE 62.2 2016
- OSHA 10
- RRP Lead Safe Work Practices/Lead Safe Weatherization
- IR Thermography and Weatherization
- Consumer Education
- Multifamily Auditing
- Healthy Home Essentials/Weatherization Plus Health
- OSHA Confined Spaces
- Heat System Sizing/Manual J

Specific trainings will be offered throughout the year. Schedule will depend on Local Agencies' needs and Commerce's recommendations.

[Effective Date: July 2016]

POLICY 5.5.9 RENEWABLE ENERGY SYSTEMS

1. Section 206 of the Energy Policy Act of 2005 (EPACT 2005) amended the Energy Conservation and Production Act (42 U.S.C. 6861 et seq.) to clarify that assistance under Department of Energy's (DOE) Weatherization Assistance Program for low-income persons may be provided for renewable energy systems and to provide definitions and criteria to be used in assessing eligibility. DOE amended their Final Rule, 10 CFR 440, to codify the EPACT provisions.
2. EPACT 2005 set a ceiling per dwelling for such assistance, subject to annual adjustments as provided in the statute.
 - a. These funds are not in addition to the current average cost per unit. The maximum represents the cumulative total average expenditures allowable for labor, materials, and related matters per unit.
 - b. See annual adjustments in Section 3.1 of the annual *Program Year 20YY Weatherization Grant Guidance* Weatherization Program Notice (numbered YY-01). See Subsection 3.1.1 *Adjusted Average Cost per Dwelling Unit* for guidance on how to apply the average ceilings on DOE Weatherization funds for units using renewable energy systems.
3. EPACT 2005 requires DOE to establish a procedure under which a manufacturer of a technology or system may request the Secretary of Energy to certify the technology or system as an eligible renewable energy system. Approved renewable energy systems will be listed in Appendix A - 10 CFR 440, *Standards for Weatherization Materials*.
4. Local agencies must verify installed renewable energy system measures have an SIR of 1.0 or greater as determined by TREAT. Client files must include SIR verification and all necessary measure-specific justification.

Allowable Costs

Approved renewable energy systems are an allowable cost under DOE funds. Policies for HHS, BPA, and MM funds will be determined.

Specific fund source limitations or allowances are as follows:

BPA: Units must be electrically heated in BPA service territory.

DOE: Approved renewable energy systems will be listed in Appendix A - 10 CFR 440, *Standards for Weatherization Materials*. Solar Water Heating Devices which conform to SRCC (Solar Rating and Certification Corporation) OG 300 are an example of an approved renewable energy system.

[Effective Date: October 20, 2016]

POLICY 7.1 LOCAL AGENCY INSPECTION OF WEATHERIZATION WORK

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. **Written Internal Monitoring Procedures:** Local Agencies must define written internal monitoring procedures to perform regularly as a means for quality control, compliance assurance, and risk assessment. Such procedures must include written inspection procedures including the use of **Exhibit 7.1A, Quality Control Inspection (QCI) Form** to ensure comprehensive and consistent inspections of all units weatherized.
2. **Final Inspection Required Prior to Completed Unit Reporting:** No dwelling unit will be reported to Commerce as completed until the local agency has performed a final inspection and certified that appropriate work has been completed in a quality manner.
3. **Validating Work Prior to Payment:** Local Agencies must validate and document subcontractor's work performed prior to paying them, by confirming work is complete, verifying work is appropriate and allowable, and certifying work is performed in compliance with the Wx Field Guide and in a quality manner. Measures installed in the field require a final or an in-progress inspection
4. **Timing of Inspections:** Inspections must take place within 30 days of completion of work on the residence.
5. **Inspector Requirements:** A certified Quality Control Inspector (QCI), someone other than the auditor or the installer(s), must conduct final inspections

Exception: Local Agencies that are unable to meet this requirement for any reason including, but not limited to, staff losses or changes, must contact Commerce within 10 business days. Local Agencies may apply for a waiver from the Auditor/Inspector separation requirement. This waiver requires prior written Commerce approval.

- a. Inspector must be certified as a Home Energy Professional Quality Control Inspector.

Exception: To perform multifamily building final inspections, in addition to the Home Energy Professional Quality Control Inspector (QCI) certification, multifamily inspectors must also receive the supplemental multifamily training and pass the test.

Wx Policy 7.1 Local Agency Inspection of Weatherization Work

Page 2 of 3

- b. The Peer Circuit Rider/Building Performance Center will provide training and testing.
- c. Newly hired inspectors must have work reviewed by a certified QCI until they are certified.

6. **Eligibility for the Auditor/Inspector Separation Waiver:** Local Agencies may apply for an Auditor/Inspector Separation Waiver as part of their Quality Management Plan if the agency:
 - a. Has only one QCI certified staff member responsible to perform both audits and inspections,
 - b. Is transitioning between certified technical staff,
 - c. Experiences technical staff losses, or
 - d. Has another reason.
7. **Applying for the Auditor/Inspector Separation Waiver:** To request the Auditor/Inspector Separation Waiver, Local Agencies must:
 - a. Submit the Auditor/Inspector Separation Waiver Request in writing.
 - b. Provide an outline of internal controls documenting how the agency will ensure compliance.
 - c. Provide the timeframe for use of the waiver.
 - d. If waiver request is due to loss of staff, provide request within 10 days.
8. **Qualifying for the Auditor/Inspector Separation Waiver:** To initially qualify for the Auditor/Inspector Separation Waiver, Commerce will review and assess the following local agency information:
 - a. Documentation provided in waiver request,
 - b. Risk assessment score,
 - c. Previous monitoring and inspection reports,
 - d. Third party QCI inspection reports for the past year (if applicable),
9. **Using the Auditor/Inspector Separation Waiver:** To continue to use the Auditor/Inspector Separation Waiver, local agencies must:
 - a. Attach in WIDS for every project, all of the following:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. Scope of Work
2. Audit (*Standardized Audit Form*)

Wx Policy 7.1 Wx Policy 7.1 Local Agency Inspection of Weatherization Work

Page 3 of 3

3. Quality Control Inspection (QCI) Form (*Standardized QCI Form*)

- b. A minimum 10% of the total annual unit production must be inspected and monitored by Commerce, and
- c. If required by Commerce, Local Agencies must use the Peer Circuit Rider program or identify a peer agency for peer exchange to consult with for 3rd party perspective.

10. **In-Progress Inspector Exceptions:** In low volume, low dollar, and low risk project situations, an in-progress inspection may be completed by appropriate staff even if they do not have QCI certification.
 - a. Since the QCI signs off on the completed project as a whole and all of the individual measures at the end, the responsibility remains with the QCI. Local Agencies are ultimately responsible and liable for their QCI staff or contractors' work. Local Agencies are expected to determine reasonable risk and reach agreement with their QCI on this process prior to final inspection. For example, a specialty contractor installs a fan and the project manager or crew lead inspects fan to determine if it works.
 - b. In project situations other than low volume, low dollar, and low risk in-progress inspections require a QCI; e.g. attic insulation in multifamily weatherization represents a high dollar investment that needs an approved inspection by a QCI prior to payment.
11. **Documenting Inspections:** Local Agencies must:
 - a. Use the required QCI Form: **Exhibit 7.1A, *Quality Control Inspection Form***
 - b. Document in the client file the signed and dated documentation (hard copy or electronic copy attached to WIDS project) of all inspections:
 1. In-progress Inspections (if applicable): Requires appropriate staff approval and documentation.
 2. Final Inspections: Requires QCI declaration if unit passes QC inspection (or not), QCI signature, QCI number, and expiration date. If the unit does not pass QC inspection, another Final Inspection is required.
 3. Monitored Inspections: Requires a QCI approved final inspection and a Commerce signature.
12. **Avoiding Third Party QCI Conflict of Interest:** Any third party QCI is prohibited from inspecting their company's work due to conflict of interest.

Field guide types approval dates

Single-Family: 7/2/2019
Manufactured Housing: 7/2/2019
Multi-Family: 7/2/2019

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

TREAT March 24, 2020 I was unable to type Approval Date (below), so I am recording here

Approval Date: 3/23/2020

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

TREAT March 24, 2020 I was unable to type Approval Date (below), so I am recording here

Approval Date: 3/23/2020

Audit Procedure: Multi-Family

Audit Name: Other (specify)

March 30, 2017

Approval Date: 3/30/2017

Comments

Use of TREAT (Targeted Retrofit Energy Analysis Tools) software was approved by DOE on March 24, 2020 for both manufactured homes and single family homes.

On March 30, 2017, DOE approved the use of TREAT software for multifamily buildings.

[Effective Date: February 21, 2020]

POLICY 5.2.1 ENERGY AUDITS

1. Energy Audits

All single-family dwellings shall receive a comprehensive, on-site, energy audit prior to receiving weatherization services.

2. Scope of Energy Audit

The Local Agency shall evaluate the dwelling for the following:

- a. Cost effective energy efficiency improvements.
- b. Health and safety issues that may negatively affect occupants.
- c. Building durability issues that may negatively affect or prohibit installation of energy efficiency measures.
- d. Comfort issues that may cause increased energy use.

3. Energy Auditor

A trained and qualified auditor, someone other than the Quality Control Inspector (QCI) conducting final inspections, shall conduct energy audits and develop the Scope of Work (SOW).

Exception: Local Agencies that are unable to meet this requirement shall notify Commerce in writing with their alternative inspection plan and receive Commerce written approval. See **Policy 7.1, Local Agency Inspection of Weatherization Work** for more information on requesting an Auditor/Inspector Separation Waiver.

- a. Shall be certified as a Building Analyst (BA), an Energy Auditor (EA), or a Quality Control Inspector (QCI) by the Building Performance Institute (BPI).
- b. Training and testing will be provided by the Peer Circuit Rider/Building Performance Center.
- c. Newly hired auditors shall have work reviewed including on-site review by a certified BA, EA, or QCI until such time that they become certified.

Wx Policy 5.2.1 Energy Audits

Page 2 of 3

4. Energy Audit Requirements: All energy audits will include:

- a. **Energy Audit Tool:** Local Agencies shall choose one energy audit tool for each Wx project. Do not combine tools or use more than one tool, on a single Wx project.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. TREAT. See **Policy 5.2.5, Targeted Residential Energy Analysis Tool (TREAT)**

2. Deemed Measures Priority List. See **Policy 5.2.7, Deemed Measures Priority List (DMPL)**

- b. **Diagnostic testing:** See **Policy 5.2.3 Diagnostic Testing**
- c. **Combustion Safety Testing:** Combustion safety testing is required when combustion appliances are present. See **Policy 9.4 Combustion Safety Testing**
- d. **Indoor Air Quality – Mechanical Ventilation:** See **Policy 9.3 Indoor Air Quality – Mechanical Ventilation**
- e. **Mold Assessment:** See **Policy 9.6, Biologicals and Unsanitary Conditions, including Mold and Moisture** and **Exhibit 5.1.4A, Client Health and Safety Packet – Part 1: Informed Consent Form.**
- f. **Pollution Source Survey:** Local Agencies shall document justification for installation of a particular health or safety measure in a project with a note in the Scope of Work.

Example: Condition #3 – **Plumbing Leak inside the home or in the crawl space**, with a **Rating 3 = Current Major Leak** is noted in Plumbing Repairs measure.

See **Exhibit 5.1.4A, Client Health and Safety Packet – Part 3: Pollution Source Survey** and **Part 4: Resource Guide to Pollution Source Survey Home Rating Scale.**

- g. **Pre-Assessment:** See **Policy 5.2.2, Pre-Assessment (Pre-Audit)**
 - h. **Analysis of Baseload Costs:** The Local Agency shall analyze baseload costs for each dwelling unit when fuel histories are available. Baseload cost data shall be used to determine cost-effective energy conservation and energy education opportunities.
5. **Review of Energy Audit Report and Scope of Work:** The Local Agency shall review the findings of the energy audit and anticipated scope of work with the occupants of the dwelling. In Single-family rentals, Local Agency shall also review the findings of the energy audit and anticipated scope of work with the owner. Documentation of the audit findings and anticipated scope of work shall be retained in the client file.

Exception: Low-cost/No-cost measures may be installed before audit findings are reviewed with the occupants and landlord.

Wx Policy 5.2.1 Energy Audits

Page 3 of 3

6. **Historical preservation considerations**

All energy audits shall note any historical preservation requirements and shall consider these requirements when determining the scope of work that will be used to complete weatherization work on the dwelling unit.

7. **Client authorization**

The Local Agency shall obtain a signature from the client (occupant of the dwelling unit), and the landlord (for a rental) authorizing installation of the measures to be performed on the eligible dwelling prior to work commencing. A copy of the signed authorization shall be retained in the client file. See **Policy 5.1.2, Wx Project Documentation**, for requirements

- 8. **Deferral:** Deferral may be necessary if there are any problems beyond the scope of the Weatherization Assistance Program. See **Policy 5.1.3, Deferral Standards.**
- 9. **Client Education:** Local Agency shall provide Weatherization information to all clients. See **Policy 5.1.4, Client Education** for requirements.
- 10. **Documentation:** See **Policy 5.1.2, Wx Project Documentation** for requirements. The Local Agency shall document all Energy Audit requirements. This documentation includes, but is not limited to:
 - a. **Existing Condition:** Local Agency shall record a description of the condition of the home at the time of the energy audit and justification for the measures as outlined in the scope of work.

Exception: A complete energy audit is not required, if during the energy audit assessment it is determined the best course of action is to defer Wx service per Commerce policy **Policy 5.1.3, Deferral Standards.**

- b. **Photographic record:** Local Agency shall record the condition of the dwelling by taking a minimum of two (2) electronic or printed photographs of the

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

dwelling's exterior elevation that capture the essence of the dwelling. These photographs shall be dated and retained. These photos, or their location, shall be documented in the client file.

[Effective Date: July 2015]

POLICY 5.2.2 ENERGY UDIT PRE-ASSESSMENT (PRE-AUDIT)

A. Policy

1. Local agencies shall perform an Energy Audit Pre-Assessment for eligible clients.
2. Local agencies may choose to do the pre-assessment as a Pre-Audit prior to the Energy Audit with a pre-assessor or as part of the Energy Audit.
3. Pre-assessors do not require BPI certification.
4. Pre-Assessments may include Low-cost/No-cost measures, Consumer Conservation Education, and Smoke and CO detectors.
5. Energy Audit Pre-Assessment (visual inspection), shall include inspecting all accessible areas and systems as follows:
 - a. Attics
 - b. Crawlspace
 - c. Building envelope
 - d. Air sealing opportunities
 - e. Roofs
 - f. Insulation levels
 - g. Heating systems
 - h. Ventilation systems
 - i. Interior surfaces
 - j. Appliances
 - k. Lighting (including common areas of multi-family dwellings)
 - l. Home energy bills
 - m. Stairs, ramps, landings, handrails
 - n. Other structural elements
 - o. Plumbing and electrical where insulation may be installed
 - p. Plumbing and electrical in areas where humans may come into contact
 - q. Smoke alarms and CO detectors

[Effective Date: July 2016]

POLICY 5.2.3-SF DIAGNOSTIC TESTING

1. The Local Agency must perform diagnostic testing on all dwelling units prior to installation of weatherization measures and upon completion of each project. An **Exhibit 5.S3, Diagnostic Test Report** must be filled out and be present in the client file.

Variance #17: DOE granted a variance from SWS Section 5.3003.3 Evaluating Air Flow allowing: WA Standard which requires a client interview, confirmation of flow at each register, measurement of heat rise, pressure pan, and room pressures. Unless duct systems are missing or destroyed and require repair or replace, WA will air seal but not resize ducts.

- a. **Single point blower door test:** The Local Agency must perform a single point blower door test at 50pa before any weatherization measures are installed and at the conclusion of any project where air sealing, building shell alteration, duct sealing, insulation, or any other measure that may alter the natural or mechanical air changes of the home is performed. Results of pre- and post-weatherization blower door testing must be documented in the client file.

Exception: Multi-family dwellings five units and greater do not require blower door testing. Blower door testing may be beneficial in low rise (3 stories or fewer), buildings with 25 units or less, and units with doors to the outside (garden apartments).

Variance #12: DOE granted a variance from SWS Sections 3.1001.9h Sealing access Doors, 3.1201.7h, and 3.1201.8h Repair, Maintenance, and Weather Stripping of Doors allowing: Blower door testing with feel, smoke, or infrared cameras to locate any air leakage sites around doors, windows, and accesses.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. **Location:** The Local Agency must install the blower door in a doorway that provides for the most accurate test. The location of the doorway where the tests are taken must be documented in the client file.
2. **Baseline data:** The Local Agency must document baseline information, such as wind speed, temperature, etc., using a diagnostic test report. See **Exhibit 5.S3, Diagnostic Test Report**.
- b. **Zonal pressure testing:** The Local Agency must perform zonal pressure testing in all zones (attics, crawlspaces, garages, unconditioned crawlspaces, etc.) with more than 50 sq. ft. of common surface with the intended thermal boundary of the dwelling. The test must be performed prior to the installation of weatherization measures that alter the shell of the dwelling. Zonal pressures must be recorded with reference to (WRT) the living space of the home. Post zonal pressure testing must be done before the installation of attic or crawlspace ventilation. Pre- and post-zonal pressure measurements must be documented in the client file.
 1. **Duct system testing:** The Local Agency must perform pressure pan (or pressure block) testing of all forced air duct systems. Duct system standard for tightness is 1pa or less at each supply register. The standard for return plenums is 5pa or less. See **Policy 5.6.1, Heating and Cooling Ducts**. Post testing of ducts in enclosed cavities, such as wall bays, dropped ceilings, floor joists, mobile home bellies, etc., must be performed prior to insulating those cavities. Pre- and post-duct pressure pan measurements must be recorded in the client file.

Exceptions:

- a. Duct systems that are entirely within the heated building envelope and not connected to any exterior wall, attic or ceiling building component or buffered zone, are not required to be tested.
- b. The Local Agency may use a duct tester to perform duct tightness testing. The standard for tightness is 100 cfm leakage to outside at 25pa.
- c. If asbestos tape is observed inside the duct, no diagnostic testing must be performed prior to encapsulation.
 - c. **Dominant duct leak testing:** The Local Agency must perform dominant duct leakage testing on all homes with ducted forced air heating distribution systems when any part of the system is located outside the thermal and pressure boundary. Dominant duct leakage testing must be performed on mobile homes. Pre- and post-dominant duct leakage measurements may be recorded in the client file. Standard for dominant duct leakage is no more than 1.5pa or 100cfm of leakage to outside.
 - d. **Room-to room pressure differential testing:** The Local Agency must test and record the pressure differential between rooms with supply, return, or both ducts and the main body of the dwelling. Pressure differentials of more than 5pa must be corrected. Pre- and post-pressure differential measurements must be recorded in the client file.

Variance #19: DOE granted a variance from SWS Section 6.6201.2a Room Pressure Testing allowing: WA Standard which for existing systems requires mitigation of excess room pressures when they cause combustion appliances to exceed CAZ depressurization limits and when room pressure imbalance exceeds 5pa. For new systems installed, WA must conform to the stricter 3pa limit.

2. **Mechanical Ventilation:** See [Policy 9.3, Indoor Air Quality – Mechanical Ventilation](#) and **Policy 5.6.2, Mechanical Ventilation Ducts**
3. **Diagnostic testing equipment:** The Local Agency must:
 - a. Use a digital manometer to perform all pressure diagnostic testing measurements.
 - b. Have blower door(s) maintained and digital manometer(s) calibrated as recommended by the manufacturer.
 - c. Keep on file a record of maintenance and calibration for all diagnostic equipment.

[Effective Date: January 1, 2021]

POLICY 5.2.5 TARGETED RETROFIT ENERGY ANALYSIS TOOL (TREAT)

1. Commerce Adopted TREAT as the Authorized Wx Energy Analysis Tool:

TREAT (Targeted Retrofit Energy Analysis Tool) is the DOE authorized Weatherization (Wx) Program energy analysis tool. TREAT is required for all Weatherization projects with DOE funded Installed Measures Costs (IMC).

Wx Projects with Weatherization Measures (WxM) not included in the Deemed Measures Priority List (DMPL) or specifically permitted by policy, also require use of TREAT to justify the investment by the weatherization program. Failure to use TREAT to justify a Wx project that includes measures not included in the DMPL, or by other policy, will result in disallowed costs. See **Policy 5.2.7, Deemed Measures Priority List (DMPL)**.

2. Using TREAT Software

- a. **Maintaining TREAT:** Local Agencies shall maintain and use the most current version of TREAT software.
- b. **Ensuring TREAT Proficiency:** Local Agencies are responsible for ensuring that all staff performing computerized energy analyses acquire and maintain proficiency using TREAT.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

1. Personnel completing TREAT energy modeling shall participate in a TREAT Modeling course developed and delivered by The Building Performance Center.
2. Energy Modeler shall complete TREAT models in alignment with the instructions provide by software developer, Performance Systems Development (PSD).
3. Energy Modeler shall review the TREAT model inspector on the improvement tab. Energy Modeler shall address all applicable warnings from the model inspector.
4. Energy Modeler shall review measure SIR result >6 (when there are no leveraged funds used) and verify the inputs relating to such measure are correct.
5. Energy Modeler shall review the annual MMBtu usage and MMBtu savings. In cases where the MMBtu savings projection is greater than the MMBtu usage, Energy Modeler shall review the inputs and adjust the inputs for such measure in order to bring savings to a realistic outcome.

Wx Policy 5.2.5 Using TREAT

Page 2 of 6

6. Failure to complete these requirements may result in disallowed cost.

3. **Developing Scope of Work:** Local Agencies shall use TREAT to develop scope of work.

Exception: For other than DOE funding, also see **Policy 5.2.7, Deemed Measures Priority List**

4. **Implementing WxM in SIR Cost-Effectiveness Order:**

Local Agencies shall implement the most cost-effective measures as determined by Savings to Investment Ratio (SIR) in TREAT in descending order of cost-effectiveness, subject to funding availability.

Exception: Air sealing may be installed without an individual $SIR \geq 1.0$, if the cumulative SIR of the improvement package of all measures installed is $SIR \geq 1.0$.

5. **Calculating the Savings-to-Investment Ratio (SIR):**

- a. Local Agencies shall install individual conservation measures (Weatherization Measures (WxM)) with a SIR of 1.0 or greater ($SIR \geq 1.0$).

Exceptions: See **Policy 5.2.5, TREAT** - Section 9, *Measure Skipping* below.

- b. Within TREAT, on the "Package Wizard" screen, the individual Wx Measures and the total package of measures shall each have a $SIR \geq 1.0$.
- c. Local Agencies shall include the cost of Weatherization-Related Repairs (incidental repairs) in the cost of the package of measures installed in a dwelling.
- d. Health and Safety Measures are NOT included in the SIR calculation.

6. **Costs:**

Local Agencies shall calculate and maintain annually their Installed Measure Costs (IMC) and their fuel costs, for use in the TREAT analysis process.

- a. **Weatherization Measure Costs:** Weatherization Measures (WxM) include ancillary items and their costs. See **Exhibit 5.1B, WxM Ancillary Items, WRR, and H&S**
- b. **Weatherization-Related Repairs Measure Costs:** Weatherization-Related Repairs (WRR) do not require an individual $SIR \geq 1$. However, Local Agencies shall justify WRR costs by demonstrating they are cost-effective.

On the "**Package Wizard**" screen, if the individual WxM $SIR \geq 1$ and the package $SIR \geq 1$, then the project qualifies for implementation economically. The following are two allowable approaches:

Wx Policy 5.2.5 Using TREAT

Page 3 of 6

1. **WRR Costs in TREAT Package:**

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- a. Each WxM within the TREAT package shall have an individual $SIR \geq 1$, and
- b. The TREAT package (including WRR costs) shall have a package $SIR \geq 1$. Describe WRR as “**visual inspections**” and add WRR costs into a TREAT package as “**improvements.**” Such improvements will generate individual SIRs in TREAT as “N/C” (not calculated) or 0.

2. WRR Costs in individual WxM:

- a. Each WxM (including the WRR costs) within the TREAT package shall have an individual $SIR \geq 1$. Add the WRR cost to the related individual WxM, and
- b. The TREAT package shall have a package $SIR \geq 1$.

7. Using Leveraged Funds:

Local Agencies may use leveraged funds to reduce weatherization fund source investments in order to bring the $SIR \geq 1$.

8. Required Inputs in TREAT:

- a. **Existing Conditions:** Local Agencies shall model home as is for existing conditions.

Exception: When actual verifiable existing conditions are not available refer to **Policy 5.2.5, TREAT** - Section 10, *Defining Parameters and Default TREAT Inputs* for instructions on the use of default inputs.

- b. **Improvement Package(s):** In addition to an improvement package defining all proposed measures in the Wx project Scope of Work, Local Agencies are also required to consider the following Wx Measure improvements for energy efficiency and measure interaction in their Improvement Package(s) TREAT project:

1. Air Sealing, does not require individual $SIR > 1$, but the improvement package including the air sealing cost requires $SIR > 1$.
2. Ceiling Insulation
3. Wall Insulation
4. Floor Insulation, insulating water distribution pipe may be included as an ancillary item or may be modeled separately
5. Duct Sealing
6. Heating and Cooling Systems
7. Windows and Doors, only if there is an observed need to improve them
8. Duct Insulation
9. Water Heater

Exception: Local Agencies shall use **Exhibit 5.1.6A, Economic Analysis of Refrigerator Replacement** to assess refrigerator replacement.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

For more information, see **Policy 5.7.3, Refrigerator Replacement**.

Wx Policy 5.2.5 Using TREAT

Page 4 of 6

9. Measure Skipping:

Measure Skipping of a cost-justified Major Measure is not permitted at any time.

Local Agencies may skip a Weatherization Measure (WxM) or not install the cost justified WxM (and associated WRR) in order of decreasing SIR, if the measure is NOT a cost-justified Major Measure AND one of the following:

- a. **Funding limitations:** If all funds available for the project will not cover the entire Scope of Work, then measures may be removed from the Scope of Work starting with the lowest SIR measure and working up the list from there. The project shall remain overall cost-effective or the project shall be deferred. Necessary Health and Safety (H&S) measures shall NOT be removed from the project; however, WxMs can be removed.
- b. **Client Refusal:** Clients may decline a Wx Measure, if the measure is not a cost-effective major measure. The Local Agency shall:
 1. Provide additional client education, and
 2. Re-run their Improvement Package TREAT project with an alternative, acceptable material to determine if the substitute material is cost-effective, then either:

- a. If no cost-effective option can be identified, the auditor shall include in the project file a comprehensive justification, including background/source documents that support the decision to skip a specific measure. Then, install all other WxMs;

OR

- b. If the auditor cannot access background/source documents that justifies the building owner/occupant's decision to decline a measure *or* the measure is defined as a cost-effective "major measure," the situation shall be fully documented in the project file and the project shall be deferred due to client refusal.
3. If during the installation process, the client declines a higher priority measure, work shall stop at the time the client declined the higher priority measure. No further installation is allowed and the project shall be inspected by a Quality Control Inspector (QCI) and closed out as a completed unit. Justification shall be documented in the project file.
- c. **Other:** Physical structural conditions that prevent implementation of a Measure, Local Agencies may on a case-by-case basis skip a WxM. Justification shall be documented.
- d. **Inadequate training:** A lack of training for Subgrantees is not an allowable reason to skip measures. Standard procedure should be to postpone job(s) requiring priority measures that cannot be installed due to lack of trained staff until adequate training is acquired.

Wx Policy 5.2.5 Using TREAT

Page 5 of 6

10. Defining Parameters and Default TREAT Inputs:

Local Agencies shall use the following key project parameters or default inputs. Justification for any variance from these parameters shall be clearly documented in the project file project notes.

- a. **Fuel costs:** Use current costs for applicable fuel types used at the project site based on local survey. Update current fuel costs annually, at a

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

minimum.

- b. **Installed measure costs:** Local Agencies shall calculate Installed Measure Costs (IMC) incorporating any applicable prevailing wage rates. For use in TREAT, IMCs are verifiable material and labor costs to install WxM and WRR Measures.
- c. **Daily and long term weather:** Use nearest available weather station(s). Other stations may be substituted based on justification of heating degree days.
- d. **Air Infiltration:** Will be based on blower door diagnostics.

Exception: Multifamily dwellings five units and greater do not require blower door testing. If blower door testing is not done, the TREAT default of 0.6 ACH or justified alternative will be used. See **Policy 5.2.3-MF, Multifamily Diagnostic Testing** for more information.

- f. **Thermostat Setting:** Use actual energy bill data and occupancy data. If actual data cannot be calibrated (true up TREAT model with energy bill data), standard occupied temperature of 70 degrees F and unoccupied temperature of 60 degrees F (includes sleep) shall be used. Standard number of occupied hours is 16 per day.
- f. **Number of occupants:** Use actual verified occupancy data. If actual data cannot be verified, standard occupancy of 1.5 people per bedroom shall be used. For dwellings less than five units, standard occupancy may be calculated based on number of bedrooms plus one occupant.
- g. **Surfaces and spaces:** Use actual energy audit assessment to determine structural characteristics and thermal boundaries. TREAT allows for combining surfaces or spaces based on significant common characteristics.
- h. **Windows and doors:** Use actual project assessment to determine size, type, and location.
- i. **Lifespan:** Use **Exhibit 5.2.7A, Weatherization Measures Maximum Lifetimes** maximum measure life defaults.

Wx Policy 5.2.5 Using TREAT

Page 6 of 6

- j. **Fans:** Include all building mechanical airflow.
- k. **Base-load:** Use actual verified data from the energy audit assessment, TREAT defaults, or a justified combination.
- l. **Billing Analysis and True Up:** Import or enter the most recent energy bill data (minimum 12 months) to calibrate (true up) the TREAT mode. For Multifamily Wx projects (five (5) units or more), TREAT run True Up is required.

Exception: For single-family, small multifamily (four (4) units or less), and mobile home dwellings the billing analysis TREAT true up is optional. For the most accurate energy model and best justification for cost effectiveness, best practice is to include billing analysis and true up single family TREAT models. However, not required at this time.

- 11. **Documentation:** Local Agencies shall document all TREAT requirements. See **Policy 5.1.2, Weatherization Project Documentation** for requirements.
- 12. **Installing WxM:** Local Agencies shall physically install WxM in the order dictated by [workflow](#).

V.5.3 Final Inspection

Please see the following documents under the SF-424 to describe Commerce's process for corrective action: 'V.7.3 Monitoring+Documents' and 'QCI_TMF'

Commerce will follow current corrective action protocols if inadequate inspection practices are found during monitoring.

Washington State Weatherization Application 2017 – 2018 Quality Work Plan Requirements from WPN 15-4

Requirement #1 – Field Standards for Sub-grantees

In 2014, Commerce thoroughly investigated the specific relationships between existing Washington Specifications and the Standard Work Specifications (SWS). From this effort Commerce identified three types of content: policy, equivalent content, and more stringent content. Commerce moved policy content to the Policy Manual and deleted equivalent content in the Washington Specifications and Standards. Commerce selected some of the more stringent content type for deletion and tagged the remainder for inclusion in the Washington State Weatherization Field Guide.

Also in 2014, Commerce worked with a team of volunteers from weatherization network throughout Washington to review the SWSs and identify which apply to the Washington weatherization program. A total of 27 variances were submitted and approved by DOE for the Washington state standards and field guide. The water heater pan variance was identified as a best practice by DOE and

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

used and an example for the program nationally.

Only the SWSs allowed by DOE WAP rules and Commerce policy will apply to the program. Commerce has communicated this concept to those Local Agencies that are concerned about complying with all of the SWSs. On July, 1, 2015 Commerce implemented a revised Weatherization Manual and Field Guide and all Local Agencies are required to follow the guidance of these documents.

Requirement #2 – Field Guides

The Washington version of the completed single family field guide, Retrofitting Washington, was implemented on July 1, 2015 and is use by all Local Agencies. Washington developed a field guide for manufactured homes and implemented its use by all Local Agencies in PY2016. Commerce is currently developing a Multifamily Field Guide with implementation target PY2018.

In April, 2015 the Building Performance Center (BPC) provided an introduction to the field guide course and the mandatory Auditor/Inspector Workshop. The BPC provides training to all current Local Agencies including their available subcontractors to ensure compliance with the requirements of the SWS. Additional training on use of the field guide is offered via webinar and long distance learning video conference technology.

The field guides are provided to grantees via our SharePoint site. SharePoint is a web application so grantees will be able to access the most current version at all times.

Requirement #3 – Technical Requirements for Local Agencies and Contractors

The Department of Commerce has fully implemented the requirements of WPN 15-4, Technical Guides and Standards, as of July 1, 2015.

The 2015 Weatherization Manual includes policies, procedures and forms relevant to this implementation.

Requirement #4 – Receipt of Technical Requirements Documentation and Follow-up

To confirm Local Agencies' receipt of technical requirements, Commerce included the following Certification Form to the PY2015 grant signed by the Executive Director and Program Manager. This certification form will also be included in the PY2017 grant:

Certification Form

The Grantee, defined as the primary participant in accordance with 45 CFR Part 76, and its principals, certifies by signing this section that to the best of its knowledge and belief that the:

1. Agency WAP staff have received training on how to use and will stay current on the Field Guide requirements.
2. Agency WAP staff has reviewed the "Precedence Section" of the 2016 Weatherization Manual.
3. Agency WAP staff will provide Commerce a plan for meeting both the Auditor/Inspector separation and final inspections being completed by an independent QCI with this signed grant.
4. Agency WAP staff will develop and implement a plan for informing all weatherization subcontractors of the above SWS requirements and required use of the Washington State Weatherization Field Guide. Agency understands that Commerce will monitor this requirement.
5. Agency WAP staff will notify Commerce within 10 days of losing a QCI or the ability to separate Auditor and Inspector duties. If the agency cannot maintain compliance with Auditor/Inspector separation, Agency WAP will provide Commerce with a plan for having units' final inspection completed by an independent QCI.

Executive Director Signature _____ Date _____

Program Manager Signature _____ Date _____

Where the Local Agency is unable to certify to any of the statements in this Grant, the Local Agency shall attach an explanation to this Grant. Commerce will review this explanation, deem its appropriateness, and take action as necessary.

Requirement #5 – Specifications Referenced in Subcontractors' Contracts

Local Agencies will be required to include language in subcontractors agreements and/or contracts that clearly documenting the specifications for the quality work requirement based on the SWSs and field guides.

Requirement #6 – Consistency of Work with Grantee Standards and Field Guides

Washington State requires all completed units, completed after July 1, 2015, inspected for compliance to the SWS, signed off by a BPI-certified Quality Control Inspector (QCI) and monitored by QCI certified staff.

Requirement #7 – QCI Standards

For several years Commerce required Building Analyst 1 certification for state monitors. Commerce has four QCI-certified Monitoring & Compliance (M&C) staff. Commerce has aligned current job descriptions for M&C staff to include QCI certification or the ability to achieve the certification during the probationary period.

Requirement #8 – Units Reported Meet Quality Guidelines

Commerce ensures that the work quality guidelines required to be followed by Quality Control Inspectors (QCI) are understood and implemented in their Local Agency inspections by:

- Verifying Local Agencies have a QCI on staff or a plan for QC inspections through Certification Form signed annually.
- Verifying Local Agencies have inspection forms that 1) assess the measures installed were appropriate and in accordance with Commerce's audit procedures, and 2) all work met the required standards. (Commerce has developed a statewide required QCI form which is in the pilot phase as this time. Full implementation of this form will take place as of 7/1/17)
- Validate final inspection forms are signed by a certified QCI during monitoring visits.

Requirement #9 – Final Inspection and Monitor Certification in Client Files

For all projects monitored by Commerce, we require two inspection certification forms in client files: one signed by the certified Local Agency QCI (required for every project) and one signed by the

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Washington State M&C QCI certified staff who completed the unit inspection (required for projects monitored by Commerce only).

Requirement #10 – Protocols for Grantee Monitoring Ensuring Work Quality

In order to ensure that the work performed by the WAP meets the criteria outlined under the Work Quality section of this guidance, Commerce has an audit review procedure included our current unit inspection workflow. In addition, Commerce has worked with the network and the Building Performance Center to establish guidelines for audit review for completeness and accuracy. During the monitoring visit, monitors will also verify contractor/subcontractor agreements contain language which clearly documents the specifications for the quality work requirement based on the SWSs and field guide.

Requirement #11 – Independent Auditor/QCI Grantee Inspection Responsibilities

It is Commerce's expectation that all Local Agencies comply with the separation of Auditor and QCI duties. Grantees must provide a plan to Commerce with their signed DOE grant indicating how they will comply with this requirement. Commerce recognizes small Local Agencies may not be able to have separation of duties between Auditors and QCIs. In specific circumstances, Commerce may allow these Local Agencies to not have separation of duties. If Commerce deems it appropriate for an agency to not have separation between the Auditor/Inspector roles, Commerce will increase the Local Agency's monitoring to a minimum of 10%.

Requirement #12 – Quality Assurance for Auditor/QCI Roles

As of July 1, 2015, Local Agencies were required to ensure all homes receive an independent final inspection by someone certified as a QCI. Local Agencies that are unable to have separation between Auditors and Quality Control Inspectors will experience an increase in monitoring from the current 5% to 10% as required by DOE.

Requirement #13 – Quality Inspection Requirement for QCI

Whether Local Agencies have a staff QCI, hires for a 3rd party QCI, or is provided a QCI by a partnering agency, the Local Agency is ultimately responsible for ensuring all Quality Control Inspections meet the standard work qualifications outlined in the Washington State Field Guide. Local Agencies will be required to cover all unallowable costs due to substandard weatherization work. When Commerce identifies substandard work, they will use the opportunity to provide technical assistance to grantees. If the Inspector is part of a pooled QCI group (shared QCI staff among multiple Local Agencies), Commerce will connect with all Local Agencies to understand the circumstances. If Inspectors receive three inspection findings for substandard work, they will receive additional monitoring and provided targeted technical assistance.

Requirement #14 – Non-Standard QCI Inspection Policy Requirements

Commerce does not intend to create a Quality Control Inspection policy that differs from the standard options defined by DOE. Commerce plans to comply with the DOE requirements defined as Option 1-Independent QCI by requiring Local Agencies to have all homes receive independent QCI inspections. This can be done by staff QCI or a contracted QCI. While Commerce strive to have all homes receive an independent QCI inspections, grantees who are unable to have Auditor/Inspector separation will receive increased monitoring as described in Requirement #12. Local Agencies who lose their QCI staff/subcontractor must inform Commerce within 10 days and provide a plan for having units receive final inspections by an independent QCI. If there is a gap in the separation duties based on an emergent, exigent situation Commerce will increase monitoring to 10%.

Requirement #15 – Guarantee of Sufficient Certified Individuals

In the 2014 program year, the BPC offered training for the Quality Control Inspector credential one to two times a month. As of January, 2016 the Building Performance Institute indicates 64 people in Washington have the QCI credential. During PY2017 the BPC will continue to provide QCI training on a quarterly basis or when needed. Commerce will ensure Local Agencies have access to QCI training and will keep informed of network QCI capacity on an ongoing basis.

Requirement #16 – Comprehensive Training for All WAP Workers

Comprehensive Weatherization Assistance Program Training

Comprehensive training as defined in WPN 15-4 is: Comprehensive, occupation-specific training which follows a curriculum aligned with the NREL Job Task Analysis (JTA) for that occupation.

Our third party training contractor, will provide comprehensive, occupation targeted training, which follows a curriculum aligned with the JTA (Job Task Analysis) for that occupation. These training will be administrated by, or in conjunction with, a training program accredited by a DOE-approved accreditation organization for the specific JTA being taught. Comprehensive training to include but not limited to:

- Energy auditor
- Quality Control Inspector
- Retrofit Installer

Weatherization Assistance Program Training

Specific training as defined by DOE, is single-issue, short-term training to address acute deficiencies in the field. BPC specific trainings include:

- Blower Door/Pressure Diagnostics/House as a System
- Shell Measures/Air Sealing/Dense Pack/Insulation
- Combustion Safety Testing
- Combustion Safety Daily Test Out
- Indoor Air Quality/Ventilation
- Auditor Training/BPI Certification Preparation
- Single Family TREAT Computerized Audit
- Multifamily TREAT Computerized Audit
- Heating Systems

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- Mobile Home Weatherization Techniques and Best Practices
- ASHRAE 62.2 2016
- OSHA 10
- RRP Lead Safe Work Practices/Lead Safe Weatherization
- IR Thermography and Weatherization
- Consumer Education
- Multifamily Auditing
- Healthy Home Essentials/Weatherization Plus Health
- OSHA Confined Spaces
- Heat System Sizing/Manual J

Specific trainings will be offered throughout the year. Schedule will depend on Local Agencies' needs and Commerce's recommendations.

Commerce's inspection form used during monitoring to ensure work is completed in accordance with the work quality requirements outlined in the WPN 15-4 is posted under the SF-424 as "QCI Form".

[Effective Date: October 20, 2016]

POLICY 7.1 LOCAL AGENCY INSPECTION OF WEATHERIZATION WORK

1. **Written Internal Monitoring Procedures:** Local Agencies must define written internal monitoring procedures to perform regularly as a means for quality control, compliance assurance, and risk assessment. Such procedures must include written inspection procedures including the use of **Exhibit 7.1A, Quality Control Inspection (QCI) Form** to ensure comprehensive and consistent inspections of all units weatherized.
2. **Final Inspection Required Prior to Completed Unit Reporting:** No dwelling unit will be reported to Commerce as completed until the local agency has performed a final inspection and certified that appropriate work has been completed in a quality manner.
3. **Validating Work Prior to Payment:** Local Agencies must validate and document subcontractor's work performed prior to paying them, by confirming work is complete, verifying work is appropriate and allowable, and certifying work is performed in compliance with the Wx Field Guide and in a quality manner. Measures installed in the field require a final or an in-progress inspection
4. **Timing of Inspections:** Inspections must take place within 30 days of completion of work on the residence.
5. **Inspector Requirements:** A certified Quality Control Inspector (QCI), someone other than the auditor or the installer(s), must conduct final inspections

Exception: Local Agencies that are unable to meet this requirement for any reason including, but not limited to, staff losses or changes, must contact Commerce within 10 business days. Local Agencies may apply for a waiver from the Auditor/Inspector separation requirement. This waiver requires prior written Commerce approval.

- a. Inspector must be certified as a Home Energy Professional Quality Control Inspector.

Exception: To perform multifamily building final inspections, in addition to the Home Energy Professional Quality Control Inspector (QCI) certification, multifamily inspectors must also receive the supplemental multifamily training and pass the test.

Wx Policy 7.1 Local Agency Inspection of Weatherization Work

Page 2 of 3

- b. The Peer Circuit Rider/Building Performance Center will provide training and testing.
 - c. Newly hired inspectors must have work reviewed by a certified QCI until they are certified.
6. **Eligibility for the Auditor/Inspector Separation Waiver:** Local Agencies may apply for an Auditor/Inspector Separation Waiver as part of their Quality Management Plan if the agency:
 - a. Has only one QCI certified staff member responsible to perform both audits and inspections,
 - b. Is transitioning between certified technical staff,
 - c. Experiences technical staff losses, or
 - d. Has another reason.
 7. **Applying for the Auditor/Inspector Separation Waiver:** To request the Auditor/Inspector Separation Waiver, Local Agencies must:

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- a. Submit the Auditor/Inspector Separation Waiver Request in writing.
- b. Provide an outline of internal controls documenting how the agency will ensure compliance.
- c. Provide the timeframe for use of the waiver.
- d. If waiver request is due to loss of staff, provide request within 10 days.

8. **Qualifying for the Auditor/Inspector Separation Waiver:** To initially qualify for the Auditor/Inspector Separation Waiver, Commerce will review and assess the following local agency information:

- a. Documentation provided in waiver request,
- b. Risk assessment score,
- c. Previous monitoring and inspection reports,
- d. Third party QCI inspection reports for the past year (if applicable),

9. **Using the Auditor/Inspector Separation Waiver:** To continue to use the Auditor/Inspector Separation Waiver, local agencies must:

- a. Attach in WIDS for every project, all of the following:

1. Scope of Work
2. Audit (*Standardized Audit Form*)

Wx Policy 7.1 Wx Policy 7.1 Local Agency Inspection of Weatherization Work

Page 3 of 3

3. Quality Control Inspection (QCI) Form (*Standardized QCI Form*)

- b. A minimum 10% of the total annual unit production must be inspected and monitored by Commerce, and
- c. If required by Commerce, Local Agencies must use the Peer Circuit Rider program or identify a peer agency for peer exchange to consult with for 3rd party perspective.

10. **In-Progress Inspector Exceptions:** In low volume, low dollar, and low risk project situations, an in-progress inspection may be completed by appropriate staff even if they do not have QCI certification.
- a. Since the QCI signs off on the completed project as a whole and all of the individual measures at the end, the responsibility remains with the QCI. Local Agencies are ultimately responsible and liable for their QCI staff or contractors' work. Local Agencies are expected to determine reasonable risk and reach agreement with their QCI on this process prior to final inspection. For example, a specialty contractor installs a fan and the project manager or crew lead inspects fan to determine if it works.
 - b. In project situations other than low volume, low dollar, and low risk in-progress inspections require a QCI; e.g. attic insulation in multifamily weatherization represents a high dollar investment that needs an approved inspection by a QCI prior to payment.

11. **Documenting Inspections:** Local Agencies must:

- a. Use the required QCI Form: **Exhibit 7.1A, Quality Control Inspection Form**
- b. Document in the client file the signed and dated documentation (hard copy or electronic copy attached to WIDS project) of all inspections:

1. In-progress Inspections (if applicable): Requires appropriate staff approval and documentation.
2. Final Inspections: Requires QCI declaration if unit passes QC inspection (or not), QCI signature, QCI number, and expiration date. If the unit does not pass QC inspection, another Final Inspection is required.
3. Monitored Inspections: Requires a QCI approved final inspection and a Commerce signature.

12. **Avoiding Third Party QCI Conflict of Interest:** Any third party QCI is prohibited from inspecting their company's work due to conflict of interest.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

V.6 Weatherization Analysis of Effectiveness

EVALUATION OF WEATHERIZATION SERVICES

Commerce grants funds to the Washington State University to conduct evaluation and technical assistance to support the effective delivery of services, particularly for the Low Income Weatherization Program (Program). The WSU Extension staff has expertise and knowledge in the collection and analysis of energy information, engineering and scientific disciplines, and the practical delivery of energy programs, education and training, evaluation, applied research, and technology transfer.

Evaluation:

The Project will provide evaluation related work including data collection, analysis, and evaluation of Program performance. This supports Program accountability, management, and improvement. Depending on funding and support, the Project may perform the following tasks:

- Provide technical support for the Weatherization Information Data System (WIDS) so it is an effective tool for collecting information, identifying Program benefits (including energy savings), and for Program tracking and management
- Conduct periodic evaluations of the Program including analysis of data in WIDS, estimating costs and benefits, and making recommendations for improvement
- Assist HIP with developing performance metrics and on-going evaluation to track and report on Program performance, costs, and benefits, with a focus on making future evaluation work more systematic
- Present the results of evaluation work to the weatherization network and other stakeholders and respond to evaluation-related questions and requests

Technical Services:

The Project will provide technical services including assessments, research and other technical assistance. These services support Program delivery and improvement. Depending on funding and support, the Project may perform the following tasks:

- Conduct assessments that provide input and information for Program planning. Assessment topics might include things like the need for weatherization services and the application of Program policies and procedures
- Assist with developing formulas and analysis that support Program operation (e.g. the allocation formula)
- Support improvements to the effectiveness of weatherization audits and software. This may include continuing work to update the weatherization measure priority list, support for training and the application of TREAT or other energy audit software modeling tools, and opportunities to integrate and streamline existing processes to more effectively meet Program requirements
- Research work to clarify the non-energy benefits from weatherization.
- Provide technical review and support and participate in meetings where Project staff have technical expertise that contributes to Program needs
-

[Effective Date: July 2017]

POLICY 7.3 ASSESSING LOCAL AGENCY RISK

This policy applies to local agencies, which administer the Weatherization (Wx) Program and use Commerce administered funds.

1. **Risk Assessment:** Commerce completes an annual Weatherization Program Risk Assessment for each local agency.
2. **Monitoring Plan:** Risk assessment scores will drive the development of each Local agency's monitoring plan for the July 1-June 30 fiscal year.

[Effective Date: July 2017]

POLICY 7.4 WEATHERIZATION OUTCOMES

This policy applies to local agencies, which administer the Weatherization (Wx) Program and use Commerce administered funds.

1. Each fiscal year Commerce, in partnership with the Advisory Committee, will determine a set of outcome measures.
2. Data for the outcome measures will be pulled from WIDS and submitted invoices at the end of each quarter:
 - a. October for July-September (Quarter 1 – Summer)
 - b. January for October-December (Quarter 2 – Fall)
 - c. April for January-March (Quarter 3 – Winter)

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- d. July for April-June (Quarter 4 – Spring)
3. Commerce measures Weatherization Outcomes quarterly for each local agency.

V.7 Health and Safety

See also 'V.6 Chapter 9 HS Policies' and '2021 HnS Plan' and page 3 of 'V.6 Client HS Packet' for Radon information.

Health and Safety represented 12% of direct labor and materials costs going into a weatherized unit (not all paid for by DOE). Last year our average Health and Safety cost per unit was \$820.

Commerce discusses deferrals with local agencies during their annual monitoring visit including how many homes were deferred and for what reasons. This year Commerce will continue to conduct regular data reviews in our online database (WIDS) to ensure homes that should be deferred are. We will continue to communicate expectations with the network.

Commerce will work with the Building Performance Center to continue to offer training on ASHRAE 62.2 as needed for Local Agencies and their Subcontractors.

At-Risk Occupant - A vulnerable occupant that is particularly sensitive to their environment such as elderly, young children, persons with medical conditions and therefore particularly susceptible to stimuli including but not limited to: temperature swings, chemicals, allergens, disruptions, construction by-products, and weatherization materials.

The Air Conditioning rules are in [Policy 5.5.1, Air Conditioning and Heating Systems](#).

If a home has an existing air conditioner in need of repair, repair is allowed. Replacement or installing a new air conditioner is allowed if existing system is beyond repair, if existing system can be repaired but only at greater cost than replacement, if there is the absence of an operable air conditioning system in the home of an *At-Risk Occupant* where climate conditions warrant (this is generally eastern Washington), if a $SIR \geq 1.0$, or if there is a Health and Safety justification.

V.8 Program Management

V.8.1 Overview and Organization

"Agency Org Chart" is attached in the SF-424.

The Washington State Department of Commerce is the lead state agency charged with enhancing and promoting sustainable community and economic vitality in Washington. The agency is made up of four divisions: Community Services and Housing, Local Government and Infrastructure, Business Services and Energy. The state's Weatherization Program is administered by the Housing Improvements and Preservation Unit (HIP) which is in the Energy Division. The division is led by Michael Furze, the former Managing Director of the Housing Improvements and Preservation Unit who has several years experience working in the Weatherization Assistance Program. The weatherization program is now in a division with the Policy Development for Energy Strategy Program, Energy Emergency Preparedness, and the Energy Company Engagement Program.

The weatherization program works closely with the Community Services and Housing Division to continue a high level of engagement from all state programs to support local governments and nonprofits to develop and preserve affordable housing.

V.8.2 Administrative Expenditure Limits

Commerce plans to cover administrative expenditures for the Weatherization Program as follows:

- a) Commerce will retain 5 percent of the total DOE grant for administration; and
- b) All subgrantees will share 10 percent through the allocation formula.

In line with DOE authorization, all subgrantees receiving less than \$350,000 will be allowed the option of using up to an additional five percent of program funds for administration. In cases where subgrantees do not require additional administrative funds, or do not need the full five percent additional allowance, these funds will continue to be used for program services. Commerce will monitor the administrative costs of each subgrantee through the annual application review, monthly expenditure reports, and fiscal audits.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

V.8.3 Monitoring Activities

See attached in SF-424 'V.7.3 Monitoring+Schedule'. Additional monitoring documents are listed in 'V.7.3 Monitoring+Documents'

COMMERCE will monitor Subgrantees in accordance with WPN 20-4.

Tentative monitoring schedule (both fiscal/administrative and technical), number of units to be monitored, and estimated budget for monitoring, is under Tab 2 of Monitoring Staff Schedule. Commerce will allot 30% of total T& TA funds for monitoring activities (5% of the total grant). The Weatherization Monitoring Manual is attached under SF-424. The manual describes the administrative, fiscal, and technical monitoring processes, all instruments, and includes a corrective action response worksheet.

Commerce Weatherization Monitoring Protocols require written response to any monitoring report that includes a Monitoring Finding, Correction, or Discrepancy. The written response must include how, who, and when the correction was made and also a Corrective Action Plan that includes how their procedure will change to ensure it does not occur again in the future. We also institute the Immediate Correction Notice (ICN) for H&S related issues that require immediate correction, within 24 hours. Commerce developed a Quality Improvement Plan (QIP) process to address Local Agencies with significant need for improvement. The QIP tracks improvement to resolution.

Annual reviews of Subgrantee financial audits:

As part of the annual monitoring process, the Lead Monitor is required to view the status of the agency financial audit in our online Contract Management System. Lead monitor notes when the audit was due, when it was received, and if there any findings. Commerce Internal Auditor also reviews all the financial audits and alerts programs of any funding related findings.

Lead Monitors review the audit during desk monitoring. They look at which funding sources are included and if any weatherization program concerns are noted within the weatherization program. They verify timely submittal of the audit. The lead monitor follows up on any and all issues during the site visit.

[Effective Date: July 2015]

SECTION 7.2 COMMERCE PROGRAM MONITORING

A. Policy

1. Commerce conducts annual program monitoring in accordance with the Protocols section of the ***Weatherization Monitoring Manual***.
2. Local Agencies will provide Commerce field representatives with all requested information and assistance in a professional, cooperative manner and by date requested.
 - a. Local Agencies will complete and submit to Commerce an annual General Weatherization Work Plan and Monitoring Questionnaire.
 - b. Questions may be addressed to the local agency during desk review prior to the monitoring visit. The local agency will respond to all Commerce questions in a timely fashion.
 - c. Local Agencies are expected to ensure that necessary diagnostic equipment and appropriate employees are available throughout the duration of the Commerce site visit, including employees who may have flexible work schedules.
 - d. Requests to change a monitoring visit must be received in writing 30 days prior to scheduled visit (emergencies excluded).
 - e. Executive directors are strongly encouraged to participate in monitoring exit conferences.
- f. Monitoring reports will be provided to subgrantees within 30 calendar days of monitoring visit.
- g. Local Agencies will within 30 days of receipt of the monitoring report make corrections to work quality issues and submit a written response to Commerce.
- h. An immediate (24 hour) correction notice may be issued to a local agency for serious Health and Safety violations found during site inspections.
3. All Wx measures must be installed in compliance with Commerce requirements. Commerce is responsible to monitor and inspect [Blended Projects](#) and [Blended Measures](#). Commerce will not monitor, inspect, or issue discrepancies, corrections, or findings for [Utility-Funded Projects](#) or [Utility-Funded Measures](#).

Exception: If in the course of a Blended Project inspection a Health and Safety (H&S) hazard is discovered for a Utility-Funded Measure, Commerce will write a correction and expect the local agency to fix or remove the H&S hazard.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

B. Procedure

See the *Weatherization Monitoring Manual* on Commerce's Weatherization Documents Web page.

Grant Language-General Terms and Conditions

Removal of a Subgrantee

1. TERMINATION FOR CAUSE

In the event Commerce determines the Grantee has failed to comply with the conditions of this Grant in a timely manner, Commerce has the right to suspend or terminate this Grant. Before suspending or terminating the Grant, Commerce shall notify the Grantee in writing of the need to take corrective action. If corrective action is not taken within 30 calendar days, the Grant may be terminated or suspended.

In the event of termination or suspension, the Grantee shall be liable for damages as authorized by law including, but not limited to, any cost difference between the original Grant and the replacement or cover Grant and all administrative costs directly related to the replacement Grant, e.g., cost of the competitive bidding, mailing, advertising and staff time.

Commerce reserves the right to suspend all or part of the Grant, withhold further payments, or prohibit the Grantee from incurring additional obligations of funds during investigation of the alleged compliance breach and pending corrective action by the Grantee or a decision by Commerce to terminate the Grant. A termination shall be deemed a "Termination for Convenience" if it is determined that the Grantee: (1) was not in default; or (2) failure to perform was outside of his or her control, fault or negligence.

The rights and remedies of Commerce provided in this Grant are not exclusive and are, in addition to any other rights and remedies, provided by law.

1. TERMINATION FOR CONVENIENCE

Except as otherwise provided in this Grant, Commerce may, by ten (10) business days written notice, beginning on the second day after the mailing, terminate this Grant, in whole or in part. If this Grant is so terminated, the Commerce shall be liable only for payment required under the terms of this Grant for services rendered or goods delivered prior to the effective date of termination.

1. TERMINATION PROCEDURES

Upon termination of this Grant, Commerce, in addition to any other rights provided in this Grant, may require the Grantee to deliver to Commerce any property specifically produced or acquired for the performance of such part of this Grant as has been terminated. The provisions of the "Treatment of Assets" clause shall apply in such property transfer.

Commerce shall pay to Grantee the agreed upon price, if separately stated, for completed work and services accepted by Commerce, and the amount agreed upon by the Grantee and Commerce for (i) completed work and services for which no separate price is stated, (ii) partially completed work and services, (iii) other property or services that are accepted by Commerce, and (iv) the protection and preservation of property, unless the termination is for default, in which case the Authorized Representative shall determine the extent of the liability of Commerce. Failure to agree with such determination shall be a dispute within the meaning of the "Disputes" clause of this Grant. Commerce may withhold from any amounts due the Grantee such sum as the Authorized Representative determines to be necessary to protect Commerce against potential loss or liability.

The rights and remedies of Commerce provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Grant.

After receipt of a notice of termination, and except as otherwise directed by the Authorized Representative, the Grantee shall:

1. Stop work under the Grant on the date, and to the extent specified, in the notice;
2. Place no further orders or subcontracts for materials, services, or facilities except as may be necessary for completion of such portion of the work under the Grant that is not terminated;
3. Assign to Commerce, in the manner, at the times, and to the extent directed by the Authorized Representative, all of the rights, title, and interest of the Grantee under the orders and subgrants/subcontracts so terminated, in which case Commerce has the right, at its discretion, to settle or pay any or all claims arising out of the termination of such orders and subgrants/subcontracts;
4. Settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the Authorized Representative to the extent Authorized Representative may require, which approval or ratification shall be final for all the purposes of this clause;
5. Transfer title to Commerce and deliver in the manner, at the times, and to the extent directed by the Authorized Representative any property which, if the Grant had been completed, would have been required to be furnished to Commerce;
6. Complete performance of such part of the work as shall not have been terminated by the Authorized Representative; and
7. Take such action as may be necessary, or as the Authorized Representative may direct, for the protection and preservation of the property related to this Grant, which is in the possession of the Grantee and in which Commerce has or may acquire an interest.

Weatherization Program High Risk Agency – Commerce Contract Management Approach

Background: The Housing Improvements and Preservation Unit (HIP), within the Energy Division at Commerce, administers the Low-Income Weatherization (Wx) Program in Washington State. Commerce contracts with a network of 28 agencies statewide to deliver services on behalf of the program, with both state and federal grant dollars. A number of agencies have experienced high staff turnover and contract performance issues. As a result Commerce placed some agencies on Watch or Probation.

The HIP unit created a risk assessment tool which is used to evaluate the contract performance and related risk of grantees. Indicators of agency risk include:

1. High staff turnover and/or lack of required training

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

2. Spend pace substantially ahead of production
3. Number of monitoring findings including fiscal, administrative and/or technical
4. Not maintaining required insurances
5. Timeliness and accuracy of reporting and grant closeout activities including:
 1. Data entered by the 15th of each month
 2. Grant closeout by 45 days after close of grant period
 3. Vouchers submitted by the 15th of the month
 4. Timely and complete responses to monitoring/inspection findings
 5. Timely and complete submission of Monitoring Questionnaire

Intent: HIP strives for early detection of performance issues, followed by timely, consistent and collaborative support to address areas of risk. HIP partners with high-risk agencies to develop the framework needed to rebuild back into a low risk and high performing program via a formal Watch Process. HIP provides basic guidance on the deliverables required during the Watch Process and relies on the agency to respond, develop systems, seek peer-to-peer support, and to deliver results.

Watch Process Stages: When two or more indicators of risk are present, HIP assigns a team to oversee the Watch Process, including a Program Manager, Program Coordinator and a Monitor. Wx Program Managers will first contact the agency to discuss the concern (via quarterly check-in meetings or scheduled phone call). Wx Program Managers will then notify the agencies in writing that two or more indicators or risk are present and that HIP will be conducting additional monitoring of the agency called the Watch Process until these indicators have been resolved.

When an agency is put on Watch, HIP launches a three phase process:

1. Planning and Development - HIP supports a short period of reduced production in order for the agency to gain required training, perform planning, and to develop systems to rebuild. The length of this period and production expectations will be negotiated with the Program Manager. Agency and HIP check-in phone calls will take place weekly. Peer-to-peer support via the Building Performance Center Peer Circuit Rider contract is encouraged and referrals will be provided to the agency by HIP staff.

Specific deliverables that the agency shall produce and submit for HIP approval during this planning phase include:

1. Program development plan
2. Workflow process outline
3. Critical task list
4. 12 month financial projections
2. Reduced Production - The agency then enters a 6 month period of reduced production goals defined by the agency and based on capacity. The production goals will be negotiated with the Program Manager. Agency and HIP check-in phone calls will take place monthly to review production and spending progress.
3. Full Production - During the following 6 month period, the agency will be provided with reasonable production goals based on comparable production of peer agencies. The Program Manager will negotiate the production goals. Agency and HIP check-in phone calls will take place monthly to review production and spending progress.

Outcomes: HIP will make every effort to support the agency get back to full production and be removed from Watch status. If performance issues persist beyond the Watch process, a determination of program viability will be made, in consultation with the impacted agency and will result in either non-renewal of contracts or a conversion of contract structure to a 'performance based payment' structure.

V.8.4 Training and Technical Assistance Approach and Activities

See SF-424 attachments '2021 State Plan FINAL' pages 12-15 and 'V.6 Chapter 9' HS Policies'.

[Effective Date: October 1, 2020]

POLICY 6.5 TRAINING AND TECHNICAL ASSISTANCE

1. Expenditure of contract funds awarded specifically for training and technical assistance (T&TA) purposes are subject to the following conditions:
 - a. Training must have direct application and benefit to local agency weatherization programs and assigned staff.

Local Agencies must document how other programs will share the training costs, if the training is not strictly for the benefit of the weatherization program staff.

- b. Priority is given to direct training opportunities for staff, crews, and subcontractors.
- c. Staff salaries while attending training, providing training, traveling to and from training, and participating in on-the-job training is an allowable expense. Equipment and materials related to training may also be purchased with these funds, with appropriate written justification and prior approval from Commerce.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- d. Subcontractors under contract to Local Agencies, training fee, subcontractor's time during training, travel, and per diem expenses are allowable expenses, if investment in the subcontractor is a benefit for the Wx Program.
- e. T&TA funds cannot be used for:
 - 1. Salaries not related to training activities;
 - 2. Vehicle or equipment purchases; or
 - 3. Program costs.
- 2. Local Agencies must complete the **Exhibit 6.5A, Training and Technical Assistance Expense Form**.
 - a. Local Agencies must include all names and titles of individuals attending training.
 - b. Local Agencies must keep Training and Technical Assistance Expense Forms on file for review by Commerce field representatives.

Wx Policy 6.5 Training and Technical Assistance

Page 2 of 2

- 3. Commerce may occasionally reimburse local agency costs for providing, or travel to receive, training and technical assistance through the Peer Exchange Program.
 - a. Prior Commerce approval is required for this reimbursement.
 - b. Local Agencies must submit the **Exhibit 6.5B, Peer Exchange Proposal Form** to Commerce.

[Effective Date: July 1, 2019]

POLICY 5.1.4 CLIENT EDUCATION

- 1. **Client Education:** Local Agency shall provide client(s) structured and consistent information on services provided: consumer conservation, repairs, and health and safety.
 - a. As outlined below, information provided as client education includes, but is not limited to:
 - 1. Energy efficiency;
 - 2. Function, use, maintenance, and warranties of equipment, systems, and components installed in their dwelling;
 - 3. Health and Safety (H&S) matters such as potential hazards and prevention;
 - 4. Information to enable client to make informed decisions and provide Local Agency with their Informed Consent. **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent** form is intended to meet the requirement.
 - b. Department of Energy defines the level of required written and verbal client education the Local Agency shall provide to clients. **Exhibit 5.1.4A, Client Health and Safety Packet – Part (2) Health and Safety Observed Conditions** form, including a link to the **Exhibit 5.1.4B, Client Education Guide**, is intended to meet the written client education requirements. See **Weatherization Program Notice (WPN) 17-7** for more information.
- 2. **Informing Clients of Deferral:** See **Policy 5.1.3, Deferral Standards** for more information. If the project is deferred, the Local Agency shall use a deferral form to:
 - a. Inform clients of deferral in writing. If the property is a rental, property owners shall also receive a copy.
 - b. Document observed conditions requiring deferral of the Weatherization project.

Wx Policy 5.1.4 Client Education

Page 2 of 8

- c. Define actions and results required, before Weatherization can commence.
- d. Local Agency shall inform client to contact Local Agency, once actions are complete, results are realized, and conditions are resolved so site visit can be scheduled to determine if the weatherization project can commence.
- 3. **Timing of Client Education:**
 - a. Prior to Weatherization Project:
 - 1. **Client Interview:** Local Agency shall conduct interviews with occupants and owners (owner's agent) to help assess the property.
 - 2. **Scope of Work:** Local Agency shall review scope of work with the client, including Proposed Measures and Work Schedule. See **Policy 5.2.1, Energy Audits** for more information.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Exception: Multifamily dwellings five (5) units and greater, the owner (owner's agent) may take responsibility to notify the tenants regarding Scope of Work.

3. **Informed Consent Signatures:** Local Agency shall secure client signature (occupant), or in multifamily dwellings five (5) units and greater, the owner signature (owner's agent) as applicable to confirm Informed Consent. See **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent** form. Also see **Policy 5.1.2, Weatherization Project Documentation** for more information on documentation requirements.

The informed consent signatures are required prior to the Weatherization (Wx) project start on the *Client Informed Consent* form. This includes the Local Agency Representative (Auditor or Client Educator provider) signature confirmation. The *Client Informed Consent* form addresses the following topics:

- a. Mold
 - b. Asbestos
 - c. Lead
 - d. Radon
- b. After Weatherization Project is Completed:
- 1. Review of Work Completed, including but not limited to:
 - a. Insulation type and levels installed.
 - b. Operation and Maintenance (O&M) of installed equipment.
 - c. Recommended fan operation for adequate ventilation and moisture control.

Wx Policy 5.1.4 Client Education

Page 3 of 8

- 2. General Post Wx Project information, including but not limited to:
 - a. Importance of keeping dryer filter and termination clear of lint.
 - b. Importance of cleaning grease buildup from kitchen range exhaust filter.
 - c. Importance of cleaning heating and cooling system filter.
- 3. Signatures:
 - a. Client signature confirming Wx project completion and receipt of information
 - b. Local Agency (Quality Control Inspector) signature confirmation

4. **Presenting Wx Information in Useable Format:** Local Agency shall provide client education verbally and in writing, as appropriate. The Environmental Protection Agency (EPA) has made non-English versions of their pamphlets available. If a pamphlet in the client's native language is not available, the English version shall be presented. The **Exhibit 5.1.4A, Client Health and Safety Packet – Part (2) Client Health and Safety Observed Conditions** form provides links to online information and the official booklets to meet the requirement to provide clients information in writing.

Exception: Local Agency shall provide physical written booklets, in addition to the links, to any client:

- a. Without a computer,
- b. For which the internet is not readily accessible, or
- c. At the client's request, as indicated on the *Client Informed Consent* form.

5. **Recipients of Client Education:**

- a. **Single-Family Owner-Occupied Properties:** Local Agency shall provide client education to the Low-income Clients: Owners/Occupants.
- b. **Single-Family Rentals:** Local Agency shall provide client education to the property owners and tenants.
- c. **Multifamily Properties:** Local Agency shall provide client education to the following people including, but not limited to the: Low-income Clients: Tenants and Occupants; Owners; Owner-Agents; Building Managers; Facilities Personnel; Maintenance Staff; and Maintenance Designee.

Wx Policy 5.1.4 Client Education

Page 4 of 8

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- 5.
6. **Rental Property Owner/Agency Agreement Information:** In single-family rentals and multifamily properties, Local Agency shall provide Wx agreement marketing information to owners (owner's agent) and Wx tenant's rights information to clients (tenants) during the course of the weatherization work. See **Policy 1.3.3, Using Owner/Agency Agreements** for more information.
- a. Local Agency shall provide Wx information to property owners to help market the agreements: See example: **Exhibit 1.3.3C, Owner-Agency Agreement InfoSheet.**
 - b. Local Agency shall provide Wx information to tenants to inform them of their rights following weatherization of their dwelling units. See example: **Exhibit 1.3.3D, Tenant Wx Rights InfoSheet.**
7. **Providing Client Education:** Local Agencies shall provide clients with a copy of **Exhibit 5.1.4A, Client Health and Safety Packet – Part (2) Client Health and Safety Observed Conditions** form. Upon request, Local Agencies will also provide clients with *Part (1) Client Informed Consent* form. **Exhibit 5.1.4B, Client Education Guide** is also available to help meet general client education information requirements. Local Agencies shall provide clients with the following Wx related information:
- a. **Warranties:** The Local Agency and all Subcontractors shall provide warranties in writing against any defect in the material, manufacture, design or installation of all materials, equipment, or products that is found within one (1) year from the date of completion of installation. Any defects found within the warranty period shall be remedied without charge and within a reasonable period of time. The warranty information shall be given to the occupant and a copy placed in the client file. See **Policy 5.1.1, General Requirements** for more information.
 - b. **Air Conditioning and Heating Systems:** Local Agency shall provide air conditioning and heating system information, appropriate use, maintenance of units and the importance of regular maintenance to all clients. Provide all paperwork and manuals for any installed equipment. See **Policy 5.5.1, Air Conditioning and Heating Systems** for more information.
 - 1. **Forced-air Systems:** Inform clients with forced-air systems of the importance of replacing or cleaning air filters monthly during the heating or cooling season.
 - 2. **DHPs:** Inform clients with ductless heat pumps of the importance of equipment maintenance.
 - 3. **Space-Heaters:** Inform clients with space-heaters of dangers of unvented space-heaters. CO, moisture, and NO₂, can be dangerous even if CO alarm does not sound. Also, provide client education on safety hazards and the proper operation of equipment, including the operation, testing, and battery replacement of smoke and CO detectors.
 - c. **Lighting Information:** See **Policy 5.7.4, Energy-Efficient Lighting** for more information. Local Agency shall provide residents with information on the following:

Wx Policy 5.1.4 Client Education

Page 5 of 8

- 1. LED and CFL features
 - 2. Potential savings
 - 3. Proper use and care
 - 4. Use and replacement limitations
 - 5. Where to purchase replacement bulbs
- d. **Indoor Air Quality:** Local Agency shall provide client with information on function, use, and maintenance (including location of service switch and cleaning instructions) of ventilation system and components. Provide client with equipment manuals for installed equipment. Include disclaimer that **ASHRAE Standard 62.2** (and **Standard 62.1**, when applicable) does not account for high polluting sources or guarantee indoor air quality. See **Policy 9.3, Indoor Air Quality – Mechanical Ventilation** for more information.
- e. **Combustion Safety:** Local Agency shall provide client with combustion safety and hazards information. See **Policy 9.4, Combustion Safety Testing** for more information. If Local Agency is unable to meet CAZ Depressurization Limits or standards, they shall provide client education for safe operation.
- f. **Smoke Detector:** See **Policy 9.5, Smoke Detectors, Carbon Monoxide (CO) Detectors, and Fire Extinguishers** for more information. Local Agency shall provide the occupant(s) of the dwelling unit with verbal and written information on use of devices installed, including:
 - 1. The operation of the smoke detector(s), testing, and battery replacement.
 - 2. Manufacturer's instructions: The manufacturer's instructions including the owner's manual, warranty, and the expected lifetime of the unit information shall be left with the occupant of the dwelling unit.
- g. **CO Detector:** See **Policy 9.5, Smoke Detectors, Carbon Monoxide (CO) Detectors, and Fire Extinguishers** for more information. Local Agency shall provide the occupant(s) of the dwelling unit with verbal and written information on use of devices installed, including:
 - 1. Dangers of CO.
 - 2. How to operate and reset the CO detector.
 - 3. How to read the CO detector.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

4. How to respond to CO levels above 10 ppm.
5. How to change the batteries.
6. **Manufacturer's instructions:** The manufacturer's instructions including the owner's manual, warranty, and the expected lifetime of the unit information shall be left with the occupant of the dwelling unit.

Wx Policy 5.1.4 Client Education

Page 6 of 8

- h. **Mold & Moisture:** Prior to the Weatherization Project start, Local Agency shall provide client (owner, tenant, or both, as applicable) written notification and disclaimer on mold and moisture awareness. See **Policy 9.6 Biologicals and Unsanitary Conditions, Including Mold and Moisture** for more information.
Pre-work Client Notification and Informed Consent shall include:
 1. **Mold Scope of Work and Schedule:** Local Agency shall provide to the owner and occupant(s) of the dwelling unit written description of the proposed work to be performed and schedule, which includes notification that the work to be performed is expected to alleviate the mold and moisture creating conditions.
 2. **Mold Conditions:** A copy of the mold assessment documenting the mold conditions. See **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent Form- Mold Assessment and Release Section** for more information.
 3. **EPA booklet, A Brief Guide to Mold, Moisture, and Your Home:** The Local Agency shall give the dwelling's occupant(s) a copy of the EPA booklet or link: <https://www.epa.gov/sites/production/files/2016-10/documents/moldguide12.pdf> before the start of any work. Written confirmation the client received information is required.
 4. **Drainage Systems:** The importance of cleaning and maintaining drainage systems.
 5. **Landscape:** The proper landscape design and how this impacts site drainage and moisture control.
- i. **Pollutants Awareness:** Local Agency shall provide biologicals, chemicals, pollutants, and unsanitary conditions information to all clients. See **Policy 9.6, Biologicals and Unsanitary Conditions, Including Mold and Moisture** for more information.
 1. **Pollution Source Survey:** Inform client in writing of observed conditions, observed hazardous conditions, and associated risks. See **Exhibit 5.1.4A, Client Health and Safety Packet – Part (2) Client Health and Safety Observed Conditions and Part (3) Pollution Source Survey.**
 2. **Plus Health:** Provide information on how to maintain a sanitary home. See **Policy 9.2.1, Weatherization Plus Health** for more information.
 3. **Safety and Disposal:** Provide client written materials on safety issues and proper disposal of household pollutants.

Wx Policy 5.1.4 Client Education

Page 7 of 8

- j. **Disposing Hazardous Materials** (Refrigerant, Asbestos, Lead, Mercury, including CFLs/Fluorescents):
 1. Local Agency shall inform client in writing of hazards associated with hazardous waste materials being generated/handled in the home.
 2. Local Agency shall provide clients with proper disposal site information for household pollutants requiring removal.
- a. **Proper Disposal of CFLs (Mercury):** If the client has existing CFLs or if the Local Agency provides CFLs, the Local Agency shall give to the occupant(s) information on the proper disposal of CFLs in their area.

CFLs contain about 4 milligrams of mercury sealed in the glass tubing of the bulb. They shall be disposed of as Household Hazardous Waste (HHW) at an approved site. See **Policy 5.7.4, Energy-Efficient Lighting** for more information.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

b. **Proper Disposal of Thermostats (Mercury):** Local Agency shall give to the occupant(s) information on the proper disposal of mercury in their area. See **Policy 5.5.8, Thermostats** for more information.

k. **Lead Awareness:** Prior to the Weatherization Project start, Local Agency shall provide lead information to all clients. See **Policy 9.8, Lead-Based Paint** for more information. See **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent Form – Lead Pre-Renovation Section**. Pre-work Client Notification and Informed Consent shall include:

1. **Lead Scope of Work and Schedule:** Local Agency shall provide written notification of the scope, location, and expected starting and completion dates of proposed work shall be provided to owners and tenants of homes and multifamily housing built prior to 1978.
 - a. **No-Lead Determination:** If a determination is made in accordance with applicable EPA rules that lead-based paint is not present in the areas affected by the proposed work, a copy of the determination must be included with the notice.
 - b. **Notification:** Notification by certified mail must be provided no more than 60 days and no fewer than seven (7) days before renovation activities begin. The notification requirement applies even if only common areas, and not individual dwelling units, will have worked performed.

(2) **Lead Conditions:** Local Agencies shall document observed lead conditions in **Exhibit 5.1.4A, Client Health and Safety Packet – Part (2) Client Health & Safety Observed Conditions** and **Part (3) Pollution Source Survey**.

3. **EPA booklet: The Lead-Safe Certified Guide to Renovate Right** or link:

https://www.epa.gov/sites/production/files/documents/rr_english_color_book.pdf

4. Written confirmation the client received information is required.

Wx Policy 5.1.4 Client Education

Page 8 of 8

l. **Asbestos:** See **Policy 9.9, Asbestos** for more information. Prior to the Weatherization Project start, Local Agency shall provide asbestos safety information to all clients. See **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent Form - Asbestos Section**.

1. **Instructions to Clients:** Instruct clients in writing not to disturb suspected Asbestos Containing Materials (ACM).
 2. **ACMs Present:** Inform client in writing that suspected ACMs are present and what precautions will be taken to ensure the occupants' and workers' safety during Wx.
 3. **Asbestos Testing:** If a Local Agency tests for ACM, test results shall be provided to the client in formal written client notification.
 4. **EPA Information:** Environmental Protection Agency has more Asbestos information available at <https://www.epa.gov/asbestos>.
- m. **Radon:** Prior to the Weatherization Project start, Local Agency shall provide radon information to all clients. See **Policy 9.10, Radon** and see **Exhibit 5.1.4A, Client Health and Safety Packet – Part (1) Client Informed Consent Form - Radon Section** for more information. Pre-work Client Notification and Informed Consent shall include:

1. **Indoor Air Quality:** Information from the results of the IAQ study that there is a small risk of increasing radon levels when building tightness is improved.
2. **Weatherization Precautionary Measures:** Wx installs precautionary measures based on EPA Healthy Indoor Environment Protocols, including but not limited to mechanical ventilation.
3. **Weatherization Benefits:** Wx benefits include energy savings, energy cost savings, improved home comfort, and increased safety.
4. **EPA's booklet: A Citizen's Guide to Radon** or link to inform clients of radon related risks <https://nepis.epa.gov/Exe/ZyPDF.cgi/P100F7ZO.PDF?Dockey=P100F7ZO.PDF>. Written confirmation the client received information and radon related risks were discussed is required.

n. **Pests:** Local Agency shall inform the client in writing of observed pest conditions and associated risks. See **Policy 9.11, Pests** for more information.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

[Effective Date: October 20 2016]

POLICY 7.1 LOCAL AGENCY INSPECTION OF WEATHERIZATION WORK

1. **Written Internal Monitoring Procedures:** Local agencies must define written internal monitoring procedures to perform regularly as a means for quality control, compliance assurance, and risk assessment. Such procedures must include written inspection procedures including the use of **Exhibit 7.1A, Quality Control Inspection (QCI) Form** to ensure comprehensive and consistent inspections of all units weatherized.
2. **Final Inspection Required Prior to Completed Unit Reporting:** No dwelling unit will be reported to Commerce as completed until the local agency has performed a final inspection and certified that appropriate work has been completed in a quality manner.
3. **Validating Work Prior to Payment:** Local agencies must validate and document subcontractor's work performed prior to paying them, by confirming work is complete, verifying work is appropriate and allowable, and certifying work is performed in compliance with the Wx Field Guide and in a quality manner. Measures installed in the field require a final or an in-progress inspection
4. **Timing of Inspections:** Inspections must take place within 30 days of completion of work on the residence.
5. **Inspector Requirements:** A certified Quality Control Inspector (QCI), someone other than the auditor or the installer(s), must conduct final inspections

Exception: Local Agencies that are unable to meet this requirement for any reason including, but not limited to, staff losses or changes, must contact Commerce within 10 business days. Local Agencies may apply for a waiver from the Auditor/Inspector separation requirement. This waiver requires prior written Commerce approval.

- a. Inspector must be certified as a Home Energy Professional Quality Control Inspector.

Exception: To perform multi-family building final inspections, in addition to the Home Energy Professional Quality Control Inspector (QCI) certification, multi-family inspectors must also receive the supplemental multi-family training and pass the test.

- b. The Peer Circuit Rider/Building Performance Center will provide training and testing.
- c. Newly hired inspectors must have work reviewed by a certified QCI until they are certified.
6. **Eligibility for the Auditor/Inspector Separation Waiver:** Local Agencies may apply for an Auditor/Inspector Separation Waiver as part of their Quality Management Plan if the agency:
 - a. Has only one QCI certified staff member responsible to perform both audits and inspections,
 - b. Is transitioning between certified technical staff,
 - c. Experiences technical staff losses, or
 - d. Has another reason.
7. **Applying for the Auditor/Inspector Separation Waiver:** To request the Auditor/Inspector Separation Waiver, Local Agencies must:
 - a. Submit the Auditor/Inspector Separation Waiver Request in writing.
 - b. Provide an outline of internal controls documenting how the agency will ensure compliance.
 - c. Provide the timeframe for use of the waiver.
 - d. If waiver request is due to loss of staff, provide request within 10 days.
8. **Qualifying for the Auditor/Inspector Separation Waiver:** To initially qualify for the Auditor/Inspector Separation Waiver, Commerce will review and assess the following local agency information:
 - a. Documentation provided in waiver request,
 - b. Risk assessment score,
 - c. Previous monitoring and inspection reports,
 - d. Third party QCI inspection reports for the past year (if applicable),
9. **Using the Auditor/Inspector Separation Waiver:** To continue to use the Auditor/Inspector Separation Waiver, local agencies must:
 - a. Attach in WIDS for every project, all of the following:
 1. Scope of Work
 2. Audit (*Standardized Audit Form*)
 3. Quality Control Inspection (QCI) Form (*Standardized QCI Form*)
 - b. A minimum 10% of the total annual unit production must be inspected and monitored by Commerce, and
 - c. If required by Commerce, Local Agencies must use the Peer Circuit Rider program or identify a peer agency for peer exchange to consult with for 3rd party perspective.
10. **In-Progress Inspector Exceptions:** In low volume, low dollar, and low risk project situations, an in-progress inspection may be completed by appropriate staff even if they do not have QCI certification.
 - a. Since the QCI signs off on the completed project as a whole and all of the individual measures at the end, the responsibility remains with the QCI. Local agencies are ultimately responsible and liable for their QCI staff or contractors' work. Local agencies are expected to determine reasonable risk and reach agreement with their QCI on this process prior to final inspection. For example, a specialty contractor installs a fan and the project

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

manager or crew lead inspects fan to determine if it works.

- b. In project situations other than low volume, low dollar, and low risk in-progress inspections require a QCI; e.g. attic insulation in multifamily weatherization represents a high dollar investment that needs an approved inspection by a QCI prior to payment.

11. Documenting Inspections: Local Agencies must:

- a. Use the required QCI Form: **Exhibit 7.1A, Quality Control Inspection Form**
- b. Document in the client file the signed and dated documentation (hard copy or electronic copy attached to WIDS project) of all inspections:
1. In-progress Inspections (if applicable): Requires appropriate staff approval and documentation.
 2. Final Inspections: Requires QCI declaration if unit passes QC inspection (or not), QCI signature, QCI number, and expiration date. If the unit does not pass QC inspection, another Final Inspection is required.
 3. Monitored Inspections: Requires a QCI approved final inspection and a Commerce signature.

12. Avoiding Third Party QCI Conflict of Interest: Any third party QCI is prohibited from inspecting their company's work due to conflict of interest.

[Effective Date: July 2018]

POLICY 9.1 WORKER HEALTH AND SAFETY

1. Minimizing Risk to Workers:

Local Agencies and Subcontractors in the Weatherization Assistance Program (WAP) shall provide weatherization services in a manner that minimizes risk to workers.

2. Remedying Energy-Related Health and Safety Hazards:

Local Agencies shall remedy energy-related health and safety hazards, which are necessary before or because of, the installation of weatherization materials.

3. Providing General Health and Safety Guidelines: The standards included here provide only general guidelines for health and safety concerns. Also see Field Guide.

Detailed specifications regarding worker health and safety are found in OSHA Safety and Health Standards (29 CFR 1926\1910) published by the U.S. Department of Labor; and corresponding WISHA Rule WAC 296-62. Worker safety rules of general application are also contained in State of Washington General Safety and Health Standards, Chapter 296-24 WAC, published by the Department of Labor and Industries. These standards are applicable to all workers providing services using funding under the DOE WAP program.

- a. **Taking Reasonable Precautions:** Workers shall take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Minor repairs and installation may be conducted only when necessary to effectively weatherize the home; otherwise these measures are not allowed.

The prevention of occupationally induced injuries and illnesses will be given precedence over production activities. To the greatest degree possible, the contractor will ensure that all equipment and facilities are in compliance with the Washington

Wx Policy 9.1 Worker Health and Safety

Page 2 of 4

Industrial Safety and Health Act (WISHA) standards. Weatherization personnel are required to exhibit caution and care during the course of the workday.

- b. **Identifying the Crew Leader/Foreman as the Responsible Party:** The crew leader/foreman is responsible for being in compliance with any instructions pertaining to health or safety as they apply to crew production activities:

1. Contact client before performing work. Provide the opportunity for discussing crew activities that will occur and occupant safety while work is in progress. When subcontractors are used, the program manager will be responsible for client contact.
2. Ensure each crewmember is reasonably protected when production activities are being conducted.
3. For pre-1978 buildings: Satisfy Section L. Lead-Based Paint Hazard Control. Inform the client of the nature of the work to be done, and encourage that children be off-site while the work is taking place.

- c. **Enforcing the Use of Personal Protective Equipment:** The use of personal protective equipment will be strictly enforced. Hearing and ear protection are required for individuals working around high decibel equipment. Each crew person will wear a respirator, protective eyewear, and protective clothing when necessary. Respiratory protection is required for individuals working in high-dust environments, including when using loose fill insulation blowing equipment, installing materials in attic and floor areas, and during prolonged use of grinding or power saw equipment. When working in an environment in which lead-based paint dust will be generated, each employee within the work area may be required to wear a

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

properly-fitted National Institute of Occupational Safety and Health (NIOSH)-approved HEPA respirator and protective clothing which will be removed upon vacating the work area. (See OSHA and WISHA rules, Section L.3, Other Federal Government Regulations.)

- d. **Maintaining Hand and Power Tools:** All hand and power tools and similar equipment shall be maintained in a safe condition. This equipment will be inspected daily, and any equipment found defective shall be tagged and removed from service until it has been repaired or replaced. Protective guards are to be in place and functioning properly while a power tool is in use.

All electrical equipment, tools, and extension cords shall be grounded properly. All electrical power for 120-volt or greater will be protected by a ground fault circuit interrupter (GFCI). Any extension cords found defective (insulation worn or cut, or frayed wires) are to be removed from the job site and disposed of properly. It is recommended that, when using power tools on surfaces that contain lead-based paint, a HEPA dust collection attachment be used. Tools shall be cleaned after use.

Wx Policy 9.1 Worker Health and Safety

Page 3 of 4

- e. **Instituting General Fall Protection:** Portable ladders shall be placed on a substantial base at a four-to-one pitch. Extension ladders are to be extended a minimum of 36 inches above the landing (i.e., where roof access occurs), or where not practical, be provided with grab rails and be secured against movement while in use. Portable metal ladders shall not be used where they may contact electrical conductors.

The use of ladders with broken or missing rungs or steps, broken or split side rails, or with other faulty or defective construction is prohibited. When ladders with such defects are discovered, they shall immediately be withdrawn from service.

Extra precaution is required while weatherization activities are conducted on the roof area. When an individual is above 16 feet or adequate stability cannot be maintained, safety gear, such as harness or safety straps, is required.

- f. **Performing Housekeeping Activities:** All scrap lumber, waste material, and debris shall be removed from the immediate area as work progresses. An area outside the home should be designated for storing such material, which should be removed from the premises at the end of each workday or when the job is completed. (Local Agencies and subcontractors are encouraged to recycle materials whenever possible.)

Equipment shall be removed from the immediate work area and properly stored when no longer required or when each phase of the weatherization process is completed. Individuals shall be equipped with a tool belt or vest, in which hand tools not in use are then properly stored and readily accessible when required.

When lead-based paint dust is generated during the course of work, the area shall be cleaned no later than the end of each workday. All materials used in the debris collection system removed in a lead-safe manner, the area thoroughly vacuumed using a HEPA vacuum, and wash and wipe down the area with a detergent solution.

- g. **Working in Confined Spaces (Attic/Crawl):** When possible, cut out holes required for venting before work is started, installing vents after weatherization activities are completed. This procedure provides both additional ventilation and light.

Precaution shall be taken when working in areas with low clearance. Work in areas with less than 18-inch clearance may be waived. See **Policy 9.1.4, Confined Spaces** for more information.

Before weatherization activities are conducted, the following is required:

1. The Competent Person – Confined Spaces shall determine if the area is a permit-required or a non-permit confined space.

Wx Policy 9.1 Worker Health and Safety

Page 4 of 4

2. Health and safety corrective action documented on the Job Order Sheet is to be completed.
3. Specific instructions are read and understood. Further clarification may be required from the Energy Analyst.
4. An adequate and safe means of access is provided.
5. Each individual has accessed the area and become familiar with existing conditions.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

- h. **Removing Pollutants:** Removal of pollutants is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit shall be deferred. See **Policy 5.1.3, *Deferral Standards*** for requirements.
1. **Hazardous Materials Disposal – Refrigerant, Asbestos, Lead, Mercury, including CFLs/Fluorescents:** Hazardous Waste Materials generated in the course of weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable. See specific policies for more information:
- a. **Refrigerants:**
- i. **Policy 5.5.6, *Ductless Heat Pumps (DHP)*** for proper refrigerant disposal, and
- ii. **Policy 5.7.3, *Refrigerator Replacement***, Section 7 for proper refrigerant disposal.
- b. **Asbestos:** **Policy 9.9, *Asbestos*** for proper asbestos disposal.
- c. **Lead:** **Policy 9.8, *Lead-Based Paint*** for proper lead disposal.
- d. **Mercury:**
- i. **Policy 5.5.8, *Thermostats*** for proper thermostat (mercury) disposal.
- ii. **Policy 5.7.4, *Energy-Efficient Lighting*** for proper CFL and Fluorescents (mercury) disposal.

[Effective Date: October 1, 2020]

POLICY 9.1.1 FIELD SAFETY TRAINING

1. **Maintaining Weatherization Health and Safety Program:** The Local Agency Weatherization Program Manager is responsible for maintaining the local agency's weatherization health and safety program. Specific responsibilities may be delegated to adequately trained and competent personnel.
2. **Training Field Safety:**
- a. **Local Agency Field Safety Training Requirements:** All Local Agency weatherization field employees (including but not limited to auditors, inspectors, crew leads, crew members, and weatherization workers) shall receive the following Field Safety Training safety training prior to conducting field work.
1. **OSHA 10 training** – an OSHA 10 card.
- Exception:* OSHA 30 training and certification may be substituted for OSHA 10.
2. **Current First Aid and CPR training** - valid first-aid certificate and CPR proficiency cards. (Per *WAC 296-155-120*)
3. **Confined Spaces training** – valid *Competent Person-Confined Space* certification
4. **Mold Training** - Local Agency shall provide training in the mold inspection and documentation protocols established by the Department of Energy for all staff charged with assessing projects for weatherization. Procedures for worker protection are found in U.S. Department of Labor Occupational Safety and Health (OSHA) "*A Brief Guide to Mold in the Workplace.*"
5. **Asbestos Awareness Training** – Washington State Department of Labor & Industries (L&I) Division of Occupational Safety & Health (DOSH) has an Asbestos Awareness Training: *Asbestos – Overview of Hazards and Regulations* available online. See [link](#) above. [L&I-DOSH Asbestos Awareness Training; Asbestos – Overview of Hazards and Regulations](#)

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

(<http://wisha-training.lni.wa.gov/training/presentations/Asbestos.pps>)

Exception: Newly hired or reassigned field employees shall receive safety training within three (3) months of starting field work. Until training is complete, employees shall work with a trained employee.

Wx Policy 9.1.1 Field Safety Training

Page 2 of 2

b. **Subcontractor Field Safety Training Requirements:** General Contractors, Subcontractors, and Subcontractors conducting specialty work such as electrical, plumbing, heating, ventilation and air conditioning under the Weatherization Program are themselves responsible for ensuring that they and their employees are in compliance with any local, state and national worker safety training requirements applicable to their work.

3. **Documenting Field Safety Training:** Local Agencies shall document all required Local Agency weatherization field safety training completed and ensure training certificate or other documentation is available for monitor review and verification.

1.

[Effective Date: July 1, 2016]

POLICY 9.1.2 SAFETY MEETINGS

1. **Conducting Safety Meetings:** Local agencies must conduct safety meetings monthly.
2. **Attending Safety Meetings:** Local agencies Weatherization staff, especially field staff must attend monthly safety meetings.
3. **Content and Purpose of Safety Meetings:** The content of meetings should focus primarily on issues of current importance, for example, OSHA requirements, new information on safety procedures, or product-related information Safety Data Sheets (SDS). During the meeting, employees should be encouraged to ask questions.

a. The main purpose will be to ensure employees retain and understand information covered during the meeting.

(1) Limit the amount of information covered to just one issue, when possible, such as lifting, tool maintenance, electrical equipment, or understanding of Safety Data Sheets (SDS).

(2) Posters relating to such matters are available and should be displayed during the month that particular issue is discussed.

4. **Documenting Safety Meetings:** Local agencies must document each safety meeting with recorded minutes kept on file. Minutes must include:

a. List of employee attendance; and

b. Topics discussed and concerns.

[Effective Date: July 1, 2016]

POLICY 9.1.3 INSPECTING ON-SITE HEALTH AND SAFETY WORK PRACTICES

1. **Inspecting On-Site H&S Work Practices:** The Local Agency must conduct an announced, on-site inspection of each crew monthly, including:

- a. Ascertaining the extent of the client's understanding of weatherization activities being performed. If health and safety issues are documented, this information must also be included in the discussion.
- b. Inspecting condition of personal safety equipment and confirming that all crew members are adequately supplied. Crew members must wear prescribed equipment if warranted by the activities being conducted.
- c. Checking each crew vehicle (as required by OSHA for all jobsites) is supplied with a:
 1. Complete first aid kit designed to provide basic first aid;
 2. Adequately charged hand-operated fire extinguisher, designed for all three types of fire (electrical, wood, and liquid). Ensure service date has not expired; and
 3. Binder containing the local agency's Hazard Communication Plan including a list of hazardous chemicals (common and chemical name), location where they are used, usage and hazardous information (signs/symptoms of exposure and required first aid), and list of Safety Data Sheets. (Note: Copies of SDS are not required if master files are accessible by all crew members.) For more information and for Hazard

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Communication Plan templates, see OSHA's Hazard Communication Standard (HCS).

- d. Inspecting hand and power tools and similar equipment. Any found to be defective should be tagged and removed from service. Equipment not in use shall be properly stored.
- e. Inspecting work area to ensure activities are conducted in a safe manner, including provision of adequate light, proper disposal of debris, connection of power equipment to a ground fault circuit interrupter, and resolution of health and safety issues.
2. **Documenting Inspections:** Local agencies must document each inspection performed including: Date; Concerns discovered, and Actions required or taken to correct concerns.

[Effective Date: October 1, 2020]

POLICY 9.1.4 CONFINED SPACES

1. **Complying with Confined Spaces Requirements:** Local Agencies shall comply with Washington Industrial Safety and Health Act of 1973 (WISHA) requirements for practices and procedures to protect employees engaged in construction activities at a worksite with one or more confined spaces (e.g. Attics, Crawlspace, etc.). See Occupational Safety and Health Administration (OSHA) 29 CFR 1926 Sub-Part AA and Division of Occupational Safety and Health (DOSH) part of Department of Labor and Industries (L&I) Confined Spaces – Chapter 296-809, WAC.
2. **Adopting and Implementing a Confined Spaces Program:** Local Agencies and their subcontractors shall adopt and implement a Confined Space Program based on WAC 296-809.

Exceptions:

- a. Online video training is available for self-training (See **Section 4b**, below).
- b. It is strongly recommended all weatherization workers take confined space training.
3. **Requiring Competent Person-Confined Space Training and Certification:** All Local Agency Weatherization field staff (including but not limited to auditors, inspectors, crew leads, crew members, and weatherization workers) shall receive "Confined Space" training and a *Competent Person-Confined Space* certification. Online video training is available for self-training (See Section 4b, below). For Contractor and Subcontractor field safety training requirements, see **Policy 9.1.1 Field Safety Training**, Section 2b, *Subcontractor Field Safety Training Requirements*.
4. **Certifying a Competent Person-Confined Space:** At a minimum, each Competent Person-Confined Space shall meet all the following requirements:
 - a. Complete OSHA 10 or OSHA 30 training and receive certification.
 - b. Complete Confined Space Training. To meet this requirement view the prerecorded confined space presentation: ***Safety in Confined Spaces - Implications for Weatherization***, (OSHA Confined Space 11 05 17 recording) presented by the Building Performance Center (BPC).
 - c. Read two OSHA documents: Confined Space FAQ's and OSHA FactSheet: *Confined Spaces in Residential Construction*

Wx Policy 9.1.4 Confined Spaces

Page 2 of 2

- d. Complete and send the formalized Competent Person Attestation Form to the BPC. The BPC will issue a Competent Person-Confined Space certificate.
5. **Documenting Confined Space compliance:** Local Agencies shall document in the client file the name of "Competent Person-Confined Space," each Confined Space assessed, determination of whether each space was permit-required or a non-permit confined space, and required documentation for any permit-required confined spaces.

[Effective Date: July 2018]

POLICY 9.9 ASBESTOS

1. Disturbing Asbestos Containing Material (ACM) in the course of performing weatherization work is allowed by properly trained and certified workers.
2. **Asbestos Training and Certification:**
 - a. **Competent Person – Asbestos Required:** When ACM is present or assumed, and will be disturbed during the course of work, a Local Agency shall contract with a Certified Asbestos Firm or utilize properly trained and certified workers Competent Person - Asbestos (per WAC

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

296-62-07728). For examples see **Exhibit 9.9, Asbestos Standard Operating Procedures (SOP)** specific to the materials being disturbed. These SOP examples were prepared by a WA State Certified Asbestos Supervisor (*per WAC 296-62-07703*).

- b. **Minimum Field Worker Training:** At a minimum, Auditors, Inspectors, and all Wx workers who are likely to come in contact with Asbestos, but do not disturb ACM shall learn how to identify suspected ACM, and vermiculite with the Asbestos Awareness Training. See **Policy 9.1.1, Field Safety Training** for requirements.

- 3. **Complete Removal of Asbestos Prohibited:** Complete removal of asbestos (general abatement of asbestos) is not approved as a health and safety weatherization cost. However, limited asbestos removal or remediation is allowed when installing weatherization measures.

- 4. **Diagnostic Testing Restricted:** When friable ACM is present or assumed a blower door test shall not be performed.

Wx Policy 9.9 Asbestos

Page 2 of 3

- 5. **Asbestos Testing:** Testing material(s) for ACM is allowable. All testing shall be performed by a certified Asbestos Hazard Emergency Response Act (AHERA) Building Inspector. If a Local Agency tests for ACM, test results shall be provided to the client. Include in client file, test results and client signature of the receipt of test results.

Variance #16: DOE granted a variance from SWS Sections 5.3002.4b and 5.3002.13b Mold and Asbestos Testing allowing: WA does not allow mold testing. WA allows, but does not require asbestos testing.

- 6. **Building Surfaces:**

- a. Removal of siding is allowed to perform energy conservation measures. All precautions shall be taken not to damage siding. Asbestos siding should never be cut or drilled. Where possible, insulate through home interior.
- b. For incidental removal or disturbance of acoustical ceiling texture (ACT) sometimes referred to as “popcorn” the local agency [Competent Person-Asbestos](#) shall follow a Standard Operating Procedure (SOP). For example, see **Exhibit 9.9, Asbestos Standard Operating Procedures (SOP)**.

- 7. **Vermiculite:**

- a. Once vermiculite is observed, do not disturb the vermiculite or any surfaces supporting or enclosing it. Examples: Do not enter attic. Do not cut hole for fan. If vermiculite is observed in wall (evident in crawlspaces or around outlets or junction boxes) do not cut into wall.

Exception: In situations where protection of the client living area can be established, weatherization work may continue by workers with the proper training, certification, and a Standard Operating Procedure.

- b. Commerce does not recommend asbestos testing on vermiculite as it is not a homogenous material and the results are not conclusive.

- c. Complete removal is not allowed.

- d. When vermiculite insulation is observed in walls or attic, do not perform blower door testing.

- 8. **Asbestos tape and covering materials on pipes, ducts, furnaces, and other small covered surfaces:**

- a. Assume asbestos is present in covering materials.
- b. Encapsulation is allowed by a **Competent Person-Asbestos**. The Local Agency shall follow a Standard Operating Procedure (SOP).
- c. Removal may be allowed by a **Competent Person-Asbestos** on a case-by-case basis.

Wx Policy 9.9 Asbestos

Page 3 of 3

- d. If asbestos tape is observed inside the duct, no diagnostic testing shall be performed prior to encapsulation.

- 9. **Deferral:** Local Agencies may defer specific measure(s) or the entire weatherization project due to ACM. See **Policy 5.1.3 Deferral Standards**. When deferral is necessary due to asbestos, occupant shall provide documentation that a certified professional performed the remediation before work continues.

- 10. **Client Education:** Local Agencies shall provide asbestos information to all clients. See **Policy 5.1.4, Client Education** for requirements.

- 11. **Documentation:** Local Agencies shall document in the client file client receipt of asbestos information, ACM test results, paid invoices for all contractor billing, including AHERA inspector. See **Policy 5.1.2, Wx Project Documentation** for requirements.

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

(Grant Number: EE0007957, State: WA, Program Year: 2021)

Local Agencies shall also document contractor and crew asbestos training and certifications.

Percent of overall trainings

Comprehensive Trainings:	29.7
Specific Trainings:	70.3

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	15.0
Percent of budget allocated to Crew/Installer trainings:	65.0
Percent of budget allocated to Management/Financial trainings:	20.0

V.9 Energy Crisis and Disaster Plan

The purpose of the Washington State DOE Weatherization Assistance Program Disaster Relief Plan is to provide emergency services to qualified households affected by a disaster as determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. The disaster generally involves three phases: the crisis itself, the cleanup, and the repair or rebuilding of the area. It is not uncommon for weatherization work to be suspended during the crisis and early clean-up period until community services such as electricity, water, and other infrastructure can be returned to normal. The plan may be in effect for a minimum of six months but could be extended depending upon the anticipated recovery period.

Disaster relief services are only available to qualified low-income households directly affected by the declared disaster. Local agencies may re-prioritize service requests from these households so that timely weatherization and reweatherization services can be provided. Dwellings may only be provided repairs or weatherization services that are not paid for by insurance or other forms of compensation. The burden of proof of what is and is not covered by insurance or other forms of compensation is put on the policyholder.

For qualified households, the unit allowance will be increased to the maximum reimbursement for a state of emergency as permitted in the DOE Weatherization Assistance Program contract. The maximum is calculated at approximately 15 percent higher than the most current average per weatherized dwelling unit as established by DOE.

Relief services shall be conducted in accordance with the WA State Weatherization Manual and Weatherization Program Notice (WPN) 12-07. Of interest may be, but are not exhaustive are:

Debris removal at a dwelling unit so that the unit can be weatherized.

- Any home damaged by disaster such as flooding can be reweatherized without regard to date of weatherization if the damage to materials is not covered by insurance or other forms of compensation.
- Commerce may take funds out of local agency grants to provide leveraging opportunities at the state and local levels. These funds can be used in innovative ways to increase the energy-related assistance that can be made available to people facing repair or rebuilding after a disaster.

Prior to initiating disaster relief services, local agencies will be required to submit a written plan to Commerce outlining the services to be provided and to report activities, expenditures, and demographics as required by the weatherization program.