

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009910	2. Program/Project Title Weatherization Assistance Program		
3. Name and Address STATE OF MINNESOTA 85 7th Place East, Suite 280 St. Paul, MN 551012198	4. Program/Project Start Date	07/01/2023	
	5. Completion Date	06/30/2024	

**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	\$ 3,512,721.00		\$ 14,307,729.00		\$ 17,820,450.00
2.						
3.						
4.						
5. TOTAL		\$ 3,512,721.00	\$ 0.00	\$ 14,307,729.00	\$ 0.00	\$ 17,820,450.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON (1576)	(2) GRANTEE T&TA (1577)	(3) LEVERAGING (1579)	(4) SUBGRANTEE ADMINISTRATI ON	
a. Personnel	\$ 260,165.00	\$ 399,328.00	\$ 101,000.00	\$ 0.00	\$ 822,446.00
b. Fringe Benefits	\$ 55,831.00	\$ 157,302.00	\$ 40,400.00	\$ 0.00	\$ 278,314.00
c. Travel	\$ 0.00	\$ 65,237.00	\$ 0.00	\$ 0.00	\$ 65,237.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 5,998.00	\$ 18,571.00	\$ 0.00	\$ 0.00	\$ 24,569.00
f. Contract	\$ 207,527.00	\$ 846,842.00	\$ 734,945.00	\$ 1,606,536.00	\$ 16,122,715.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 224,070.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 224,070.00
i. Total Direct Charges	\$ 753,591.00	\$ 1,487,280.00	\$ 876,345.00	\$ 1,606,536.00	\$ 17,537,351.00
j. Indirect Costs	\$ 64,272.00	\$ 123,942.00	\$ 89,391.00	\$ 0.00	\$ 283,099.00
k. Totals	\$ 817,863.00	\$ 1,611,222.00	\$ 965,736.00	\$ 1,606,536.00	\$ 17,820,450.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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5. TOTAL		\$ 3,512,721.00	\$ 0.00	\$ 14,307,729.00	\$ 0.00	\$ 17,820,450.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1) SUBGRANTEE T&TA	(2) PROGRAM OPERATIONS	(3) HEALTH AND SAFETY	(4) LIABILITY INSURANCE		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 822,446.00	
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 278,314.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 65,237.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 24,569.00	
f. Contract	\$ 830,750.00	\$ 6,990,900.00	\$ 1,258,100.00	\$ 79,154.00	\$ 16,122,715.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 224,070.00	
i. Total Direct Charges	\$ 830,750.00	\$ 6,990,900.00	\$ 1,258,100.00	\$ 79,154.00	\$ 17,537,351.00	
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 283,099.00	
k. Totals	\$ 830,750.00	\$ 6,990,900.00	\$ 1,258,100.00	\$ 79,154.00	\$ 17,820,450.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

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5. TOTAL		\$ 3,512,721.00	\$ 0.00	\$ 14,307,729.00	\$ 0.00	\$ 17,820,450.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2) WEATHERIZATI ON READINESS	(3) SUBGRANTEE LEVERAGING (1579)	(4) CSPP Grantee Administration	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 38,479.00	\$ 822,446.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 15,392.00	\$ 278,314.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 65,237.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 24,569.00
f. Contract	\$ 54,059.00	\$ 1,657,410.00	\$ 241,443.00	\$ 0.00	\$ 16,122,715.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 224,070.00
i. Total Direct Charges	\$ 54,059.00	\$ 1,657,410.00	\$ 241,443.00	\$ 53,871.00	\$ 17,537,351.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 5,494.00	\$ 283,099.00
k. Totals	\$ 54,059.00	\$ 1,657,410.00	\$ 241,443.00	\$ 59,365.00	\$ 17,820,450.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
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4.						
5. TOTAL		\$ 3,512,721.00	\$ 0.00	\$ 14,307,729.00	\$ 0.00	\$ 17,820,450.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) CSPP Health and Safety	(2) CSPP Subgrantee Administration	(3) CSPP Program Operations	(4) SERC Grantee Administration	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 23,474.00	\$ 822,446.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 9,389.00	\$ 278,314.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 65,237.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 24,569.00
f. Contract	\$ 116,560.00	\$ 102,543.00	\$ 802,811.00	\$ 0.00	\$ 16,122,715.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 224,070.00
i. Total Direct Charges	\$ 116,560.00	\$ 102,543.00	\$ 802,811.00	\$ 32,863.00	\$ 17,537,351.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 283,099.00
k. Totals	\$ 116,560.00	\$ 102,543.00	\$ 802,811.00	\$ 32,863.00	\$ 17,820,450.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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5. TOTAL		\$ 3,512,721.00	\$ 0.00	\$ 14,307,729.00	\$ 0.00	\$ 17,820,450.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SERC Subgrantee Administration	(2) SERC Health and Safety	(3) SERC Program Operations	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 822,446.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 278,314.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 65,237.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 24,569.00
f. Contract	\$ 61,035.00	\$ 72,000.00	\$ 460,100.00		\$ 16,122,715.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 224,070.00
i. Total Direct Charges	\$ 61,035.00	\$ 72,000.00	\$ 460,100.00		\$ 17,537,351.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 283,099.00
k. Totals	\$ 61,035.00	\$ 72,000.00	\$ 460,100.00		\$ 17,820,450.00
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: EE0009910, State: MN, Program Year: 2023)**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Arrowhead Economic Opportunity Agency, Inc. (Virginia)	\$855,025.00 56
Bi-County Community Action program, Inc. (Bemidji)	\$418,941.00 27
Community Action Partnership of Ramsey & Washington Counties (Saint Paul)	\$1,611,947.00 102
Dakota County Community Development Agency (Eagan)	\$615,419.00 38
Fond Du Lac Reservation Business Committee (Cloquet)	\$43,227.00 2
Inter-County Community Council (Oklee)	\$224,475.00 14
KOOTASCA Community Action, Inc. (Grand Rapids)	\$262,758.00 14
Lakes and Pines Community Action Council, Inc. (Mora)	\$830,217.00 54
Mahube-OTWA Community Action Partnership, Inc. (Detroit Lakes)	\$1,652,998.00 116
Mille Lacs Band of Ojibwe Indians (Onamia)	\$55,018.00 2
Minnesota Valley Action Council (Mankato)	\$591,866.00 37
Northwest Community Action, Inc (Badger)	\$189,353.00 9
Prairie Five Community Action Council, Inc. (Montevideo)	\$171,014.00 10
Semcac (Rushford)	\$736,821.00 45
Sustainable Resources Center (Minneapolis)	\$1,656,574.00 109
Three Rivers Community Action, Inc. (Zumbrota)	\$256,166.00 14
Tri-County Action Programs, Inc. (SC) (Waite Park)	\$721,701.00 48
Tri-County Community Action, Inc. (LF) (Little Falls)	\$937,459.00 73
United Community Action Partnership (Marshall)	\$752,914.00 46
West Central Minnesota Communities Action, Inc. (Elbow Lake)	\$509,672.00 31
White Earth Reservation Tribal Council (Waubun)	\$157,401.00 5
Wright County Community Action, Inc. (Maple Lake)	\$247,857.00 13
<b>Total:</b>	<b>\$13,498,823.00</b> <b>865</b>

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**IV.2 WAP Production Schedule**

Weatherization Plans		Units
Total Units (excluding reweatherized)		865
Reweatherized Units		0
Planned SERC Units *		6
Average Unit Costs, Units subject to DOE Project Rules		
<b>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	865
C	Total Units Reweatherized	0
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	865
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<b>AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
F	Total Funds for Program Operations	\$6,990,900.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	865
H	Average Program Operations Costs per Unit (F divided by G)	\$8,081.97
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$8,081.97

**IV.3 Energy Savings**

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)				
		Units	Savings Calculator (MBtus)	Energy Savings
	This Year Estimate	865	29.3	25344
	Prior Year Estimate	695	29.3	20364
	Prior Year Actual	754	29.3	22092
<b>Method used to calculate savings description:</b>				

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

<p><b>PY23 Weatherization Assistance Program Leveraging Plan</b></p> <p>The complexities of leveraging various weatherization funds can be daunting for the most experienced Service Provider. As a state agency, we are here to help Service Providers maximize and leverage their weatherization funds to increase the impact of energy efficiency services on low-income households in their community.</p> <p>The effort generated from the previous State plan provided the foundation for the work that must continue to move forward to maximize our efforts to serve income-eligible Minnesotans and offer them a comprehensive menu of services. The most significant barrier impacting the outcome of weatherization remains access to a robust workforce; however, the movement to leverage funds in a holistic and efficient matter should remain the same.</p> <p>Four positions will support the leveraging objectives for Minnesota in PY23:</p> <ul style="list-style-type: none"> <li>• Equity &amp; Innovation Coordination (funded by WAP BIL)</li> <li>• Local Projects Developer (DOE/WAP BIL)</li> <li>• Outreach &amp; Workforce Administrator (WAP BIL)</li> <li>• Project Administrator (DOE/WAP BIL)</li> </ul> <p>MN Weatherization Assistance Program Leveraging activities will consist of the following five primary components:</p>
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**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**WEATHERIZATION ANNUAL FILE WORKSHEET**

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

**1. Enhance and expand Service Provider education around leveraging access and use.**

Minnesota will continue to enhance its training model based on the *Framework for Effective Planning* approach as introduced in Minnesota's Application for the Weatherization Assistance Program Bipartisan Infrastructure Law Application. This process starts with training and planning workshops, advances the development of local plans, and concludes with the plan's implementation with provided resources. This approach expects Service Providers to utilize the benefits of peer learning in all aspects of planning, increasing equitable performance and optimum effective leveraging.

In compliment to efforts initiated under the WAP BIL application, additional workshops topics will include outreach to Justice40 populations, effective leveraging, adding innovative measures and manufactured home approaches.

In support of these workshops, Minnesota will collect case studies from Service Providers to demonstrate various scenarios and examples of funding leveraged to meet clients' needs. This will occur quarterly, and Service Providers will have the opportunity to see how their peers utilize leveraging to maximize the impact of weatherization funds for households.

Examples of uses of Leveraging Funds include (but are not limited to):

- Development of relationships with Utilities in order to build low-income Conservation Improvement Program Funds use of funds in WAP served households.
- Partnerships with AmeriCorps Programs – or other service-based organizations to assist in developing in-kind contributions to increase client education or other services.
- Grant writing to foundations to meet program gaps or address program inequities.
- Time spent implementing and tracking other locally driven partnerships.

Minnesota will engage with the Weatherization Coordinators, Lead Projects Developer, and Training and Outreach Specialist to provide ongoing training, peer-mentoring, and workshop opportunities which are intentional in their effort to educate Service Providers on all aspects of leveraging funds.

As part of the ongoing efforts to expand leveraging by our Service Providers, Minnesota will also provide real-time funding opportunities focusing on energy-efficiency initiatives. Minnesota will further offer to partner with Service Providers seeking leveraging dollars from non-federal dollars, which may allow for more flexibility in addressing deferrals.

**2. Increase equity-based program access throughout Minnesota**

Minnesota has provided the WAPMAP tool to inform Service Providers via the equity gaps analysis, to determine service gaps in census-tract areas. Training on using the WAPMAP will be offered to Service Providers and other stakeholders. The goal is for Service providers to use data-driven decisions to determine how to select targeted services for underserved communities.

**3. Expand the implementation of innovative approaches to programs and funding opportunities.**

The need to seek non-federal funding opportunities is essential to address our deferral list and maximize the weatherization program's energy-efficiency efforts. These efforts will occur by strategically researching funding opportunities from private foundations, philanthropic organizations, and public charities.

We will focus our initial outreach to communities within Justice40 and identify areas from our WAPMAP tool.

**4. Support Workforce Development including AmeriCorps Placement**

As noted, Workforce Development is a key need in Minnesota WAP. One approach is to "grow our own" by supporting placement of AmeriCorps members at Service Provider agencies. Commerce will support the placement of up to 12 AmeriCorps members at Service Providers in PY23. These members are able to expand outreach efforts, develop skills, receive certifications, and in the best case move into the Weatherization program on a permanent basis.

**5. Advancing Solar as a Measure in MN WAP**

Minnesota will continue to support two Solar Technical Assistance Liaisons. These individuals are facilitating the wider adoption of Solar as a measure in WAP. Providing one-on-one expertise and technical support for implementing solar, Minnesota has found this roll instrumental in expanding the roster of agencies comfortable with the implementation of this new measure and this technology.

**6. Technology to Support Leveraging**

As Minnesota seeks to expand the opportunities for Service Providers to leverage and braid resources, it is imperative that the weatherization network be able to report on these activities effectively, thereby continuing the growth of the leveraging efforts. Minnesota's WAP BIL budget has some support for technological

**U.S. Department of Energy  
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WEATHERIZATION ANNUAL FILE WORKSHEET**

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

systems to support weatherization production. We are also anticipating, the addition of a module that allows for tracking and reporting on leveraging efforts through this Leveraging Plan.

**IV.5 Policy Advisory Council Members**

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

CenterPoint Energy	Type of organization: Utility Contact Name: Carter Dedolph Phone: 6123214412 Email: <a href="mailto:carter_dedolph@centerpointenergy.com">carter_dedolph@centerpointenergy.com</a>
Citizens Utility Board	Type of organization: Non-profit (not a financial institution) Contact Name: Brian Edstrom Phone: 65130047016 Email: <a href="mailto:briane@cubminnesota.org">briane@cubminnesota.org</a>
Clean Energy Resource Teams	Type of organization: Non-profit (not a financial institution) Contact Name: Joel Haskard Phone: 6126258759 Email: <a href="mailto:haska004@umn.edu">haska004@umn.edu</a>
Fond Du Lac Reservation Business Committee	Type of organization: Indian Tribe Contact Name: Joan Markon Phone: 2188782658 Email: <a href="mailto:joanmarkon@fdlrez.com">joanmarkon@fdlrez.com</a>
Fresh Energy	Type of organization: Non-profit (not a financial institution) Contact Name: Mari Ojeda Phone: 6517267567 Email: <a href="mailto:ojeda@fresh-energy.org">ojeda@fresh-energy.org</a>
Great River Energy	Type of organization: Utility Contact Name: Jeff Haase Phone: 7634456106 Email: <a href="mailto:jhaase@grenergy.com">jhaase@grenergy.com</a>
Home Performance Strategies	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Kevin Brauer Phone: 6128680365 Email: <a href="mailto:kevinbrauermn@gmail.com">kevinbrauermn@gmail.com</a>
Minnesota Valley Action Council	Type of organization: Non-profit (not a financial institution) Contact Name: Kris Perendy Phone: 5073452434 Email: <a href="mailto:krisp@mnvac.org">krisp@mnvac.org</a>
Prairie Five Community Action Council, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Laura Milbrandt Phone: 3202696578 Email: <a href="mailto:Laura.Milbrandt@prairiefive.org">Laura.Milbrandt@prairiefive.org</a>
State of Minnesota	Type of organization: Unit of State Government Contact Name: Tracy M.B. Smetana Phone: 6515391826 Email: <a href="mailto:tracy.m.b.smetana@state.mn.us">tracy.m.b.smetana@state.mn.us</a>
STATE OF MINNESOTA	Type of organization: Unit of State Government Contact Name: Anthony Fryer Phone: 6515391858 Email: <a href="mailto:anthony.fryer@state.mn.us">anthony.fryer@state.mn.us</a>
State of Minnesota	Type of organization: Unit of State Government Contact Name: Katherine Teiken Phone: 6512967610 Email: <a href="mailto:katherine.teiken@state.mn.us">katherine.teiken@state.mn.us</a>
Tri-County Community Action, Inc. (LF)	Type of organization: Non-profit (not a financial institution) Contact Name: Jason Foy Phone: 3206320561 Email: <a href="mailto:Jason.foy@tccaction.com">Jason.foy@tccaction.com</a>
	Type of organization: Non-profit (not a financial institution)

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

United Community Action Partnership	Contact Name: Jeff Gladis Phone: 50753714162136 Email: <a href="mailto:jeff.gladis@unitedcapmn.org">jeff.gladis@unitedcapmn.org</a>
Xcel Energy	Type of organization: Utility Contact Name: David Hueser Phone: 6123306581 Email: <a href="mailto:david.a.hueser@xcelenergy.com">david.a.hueser@xcelenergy.com</a>

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/13/2023	On April 3, 2023, notice of a Virtual State Plan public hearing was sent to all WAP Service Providers and subscribers of the Conservation Improvement Program newsletter, which focuses on utilities (8,500+). The draft copy of the PY23 State Plan was posted on the Commerce website on April 3, 2023 and a link to the posting was included in the Notice. A Virtual Public Hearings took place on April 13 at 2:00 PM via WebEx to comply with the annual state plan hearing required in 10 CFR 440.14 and COVID-related guidance from DOE.

**IV.7 Miscellaneous**

<p><b>PY23 Weatherization Readiness Fund Plan</b></p> <p>Weatherization Readiness Funds will be used in Minnesota to reduce the number of deferrals by providing flexibility to our sub-grantees to address weatherization barriers at the local level. Weatherization Readiness Funds allow Service Providers to address the variety of unique and vexing issues present in clients’ homes that lead to an inability to provide weatherization services.</p> <p>Minnesota distributes Weatherization Readiness funds per our usual funding formula which is based on general population of Service Area, population living in poverty, and a number of other factors.</p> <p>At the sub-grantee level, individual homes will be prioritized by considering three factors. First the home will be assessed as to its probability in resulting in a weatherized home. Second, the home will be assessed to determine if other funds can be used to address the deferral reason such as Conservation Improvement Program, Rehabilitation, or agency funds. Finally, the home will be assessed for overall cost and compared against the full group of deferrals to manage costs to the average.</p> <p>Minnesota seeks to allow local sub-grantees appropriate flexibility in managing Weatherization Readiness Funds. Because homes and circumstances are unique, this flexibility will allow sub-grantees to address the varied situations that arise in the most cost-effective manner possible with the most benefit to the homeowner. Once projects have been assessed against the priorities as noted above, Minnesota will expect Service Providers to manage to the State Weatherization Readiness Fund average and that each home served results in a weatherized unit.</p> <p>Allowable Repairs:</p> <ul style="list-style-type: none"> <li>• Mold and Moisture             <ul style="list-style-type: none"> <li>○ Grading/landscaping repairs for seepage control</li> <li>○ Gutters/downspout repair, replacement, or addition</li> <li>○ Sump pump repair, replacement, or addition</li> <li>○ Black mold removal</li> </ul> </li> <li>• Structural             <ul style="list-style-type: none"> <li>○ Foundation repairs</li> <li>○ Roofing repairs</li> <li>○ Roof replacement including, replacing decking material and roof, and/or changing roof material (e.g., shingles to metal)</li> <li>○ Window/door repair or replacement</li> </ul> </li> <li>• Mobile home skirting</li> <li>• Interior and exterior wall repairs</li> <li>• Ceiling and floor repairs</li> <li>• Plumbing/sewer repairs</li> <li>• Electrical repairs or upgrades such as knob and tube replacements and panel upgrades</li> <li>• Inaccessible crawl spaces</li> <li>• Remediation of excessive clutter or hoarding</li> <li>• Chimney liner repair and replacement Minnesota Weatherization Assistance Program PY22 Policy Manual Addendum – US DOE Weatherization Readiness Funds Updated January 2023</li> <li>• Integrated Pest Management (bugs and vermin remediation and blocking)</li> <li>• Radon mitigation (requires prior approval from Commerce)</li> </ul>
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**U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM (WAP)  
WEATHERIZATION ANNUAL FILE WORKSHEET**

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

Repairs not listed here will be considered on a case-by-case basis with prior approval.

Although vermiculite in attics is the largest cause of deferrals in the State, other funds are available to address this barrier to weatherization.

Minnesota has set a Statewide Weatherization Readiness Fund average of \$5,000 for all service Providers. Any projects that go over \$8,000 are required to receive prior approval.

Monitoring takes place as a component of the existing field and administrative monitoring activities. Specifically, monitors verify that the readiness funds were spent on a home that resulted in weatherization, that the Statewide Weatherization Readiness Fund average was maintained, and that any projects costing more than \$8,000 were approved prior to project start. Additionally, monitors will review the quality of the work performed in preparing the home for weatherization to match the workmanship quality expected of weatherization work.

Minnesota tracks deferrals using our FACSPRO software. Each Service Provider notes homes that were deferred, moving them from pending status to deferred status, providing one or more reasons for the deferral using the Commerce-provided choices.

**Recipient Business Officer:**

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**Prefix:** Ms.  
**First Name:** Amy  
**Middle Name:**  
**Last Name:** Trumper  
**Suffix:**  
**Title:** Chief Financial Officer  
**Telephone Number:** (651) 539-1517  
**Fax:** (651) 539-0109  
**Email:** amy.trumper@state.mn.us  
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**Recipient Principal Investigator:**

-----  
**Prefix:** Ms.  
**First Name:** Suzy  
**Middle Name:**  
**Last Name:** Meneguzzo  
**Suffix:**  
**Title:** Weatherization Assistance Program Director  
**Organization Affiliation:** Department of Commerce/Div. of Energy Resources  
**Telephone Number:** (651) 539-1791  
**Fax Number:**  
**Email:** suzy.meneguzzo@state.mn.us  
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Re: Allocations

Since the submission of this application, one of Minnesota has terminated our relationship with one of our Weatherization Service Providers (Southern Minnesota Opportunity Council). A near by Service Provider (United Community Action Partnership) has been named a temporary provider until Commerce can complete the request for Proposal process.

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

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 Minnesota Department of Commerce (Minnesota) uses a combined LIHEAP/WAP application to determine eligibility for both the Energy Assistance (LIHEAP) and Weatherization Assistance Programs (WAP). For the purpose of this application, income is defined as all income and all money received by each household member. This includes:

- Wages
- Minnesota Family Investment Program, Diversionary Work Program, General Assistance
- Spousal Support or Alimony
- Disability Payments, Veteran's Benefits, Workers' Compensation, Social Security, RSDI and SSI
- Unemployment Compensation
- Self Employed, Farm, and Rental Income
- Interest, Dividend
- Retirement Income
- Pensions and Annuities
- Tribal Bonus, Judgments or Per Capita Payments

Describe what household eligibility basis will be used in the Program

A dwelling unit is eligible for Weatherization services if it is occupied by a household whose income is at or below 200% of Federal Poverty Income Guidelines or is eligible for assistance under the LIHEAP income limit of 60% of State Median Income, whichever is greater, as allowed by 10 CFR 440.22 and required under Minnesota 2009 Session Laws, Chapter 138, Article 2, Subd. 4.

Households in which one or more members have received payment under Title IV or XVI of the Social Security Act during the preceding 12 months are also eligible.

Households with both ineligible household members and eligible household members may apply for weatherization services to benefit the eligible household members. All household income (including income from ineligible household members) must be considered when determining eligibility. When determining level of benefits, income of ineligible household members must be excluded. Ineligible household members may apply for weatherization services to benefit eligible household children, providing that SSN and proper documentation is provided at the time of application.

In all cases stated above, eligibility is determined by the eHEAT software system, a tool developed by Minnesota's LIHEAP program with input from WAP staff. The eHEAT system determines income eligibility and centralizes payments to utility companies.

The eHEAT system also identifies individuals that do not qualify for LIHEAP but are eligible for WAP. For individuals that choose not to apply for LIHEAP, the application and eHEAT process is used to determine eligibility for WAP services.

When Minnesota or its sub grantees certify that applicants have met the income requirements of HUD means-tested programs according to WPN 22-5, the method of verification of eligibility will be included in the client file.

All application eligibility expires 12 months from certification date if work on dwelling unit (energy audit) has not been initiated.

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

As noted, the Minnesota Department of Commerce (Minnesota) uses a combined LIHEAP/WAP application to determine eligibility for both the Energy Assistance (LIHEAP) and Weatherization Assistance Programs (WAP). All potential recipients of WAP services are asked to provide information that ensures they are eligible as described. Per Energy Assistance Program Policy Manual FFY23 produced by the Minnesota Energy Assistance Program, qualified aliens may provide an alternative to a Social Security number to meet this requirement.

**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

When occupied by an eligible household, the following dwellings are eligible for weatherization, whether owner-occupied or rental properties:

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

- Single Family Homes;
- Mobile Homes/Manufactured Homes;
- Multifamily buildings containing 2 or more units;
- Townhomes (treated as individual single-family dwellings provided there is a physical separation between each townhome's thermal barrier, air pressure boundary, mechanical systems, and individually metered units).

**Owner Occupied Dwellings Proof of Ownership**

Service Providers must verify home ownership and add proof of ownership to the household file for owner-occupied households. Proof of ownership ensures that proper authorization is obtained prior to weatherizing a dwelling.

Proof of ownership documentation includes:

- Property tax statements;
- Mortgage statements;
- Contract for deeds recorded with the county;
- Quit claim deeds recorded with the county;
- Online or written information from a county recorder or assessor;
- Official county receipt for transfer of title;
- Ownership validation from a tribal government;
- Other documentation preapproved by the Minnesota Department of Commerce.

Mobile/manufactured homes may be owned either as personal property or real property. If the mobile home is titled through Driver and Vehicle Services, it is considered personal property and the Certificate of Title issued by Driver and Vehicle Services serves as proof of home ownership. If the mobile home title was surrendered to the county, then the home is considered real property and documentation of ownership would be the same as for other nonmobile homes.

**Rental Dwelling Income Documentation Requirements**

Single-Family Rental Requirements: a single-family dwelling (one unit) must be occupied by an eligible household prior to the start of any weatherization activities. Household eligibility is determined through review of household supplied information contained in eHEAT as described earlier.

**Multifamily Rental Requirements:** Service Providers may weatherize multifamily buildings containing two or more units. Weatherization is designed to occur on the whole building is a systems approach. A single unit within a multiunit building may not be weatherized.

Eligibility for each building in a multifamily complex of buildings is determined separately. For a multifamily building to be eligible for weatherization services, at least 66% of the building units (50% for duplexes and fourplexes and certain eligible types of large multifamily buildings) must meet one of the following:

- Have income-eligible households in the dwelling units, or;
- Will have income-eligible households in the dwelling units within 180 days under a Federal/State program for rehabilitating the building.

Prior to being accepted into the Weatherization program, multifamily buildings are checked against household eligibility requirements, and the expenditure limits for Weatherization work in the building are verified.

Rented townhomes with complete separation between the building units' thermal barriers, air pressure boundaries, mechanical systems, and with individually metered units may be treated either as individual units, or, if eligibility is met, as a multifamily building.

**Describe Reweatherization compliance**

Minnesota maintains a centralized previously weatherized list in the production management software used by all Service Providers. This centralized list captures all homes previously weatherized using DOE funds in Minnesota and is based on the historical previously weatherized lists of all active and past Service Providers. Service Providers verify previously weatherized status via the software to ensure current eligibility prior to undertaking Weatherization work on the home. Weatherized Households are added to the list as Weatherization work is completed.

With re-weatherization guidance from DOE, Minnesota adjusted procedures accordingly. Specifically, the production management software has been programmed to address the rolling 15 year time frame and allows only qualified homes to progress through the weatherization process.

Minnesota will also verify previously weatherized houses completed by HUD, HHS and USDA per the forthcoming DOE guidance.

**Describe what structures are eligible for weatherization**

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

Structures that are eligible for weatherization include single family, manufactured homes, and multifamily buildings. Minnesota has approved audits for single family (2021), manufactured homes (2021), and multifamily buildings (2019). Nontraditional dwelling types such as shelters and mixed-use buildings may be allowed but must be reviewed and approved by Minnesota prior to weatherization to ensure that the dwelling meets program regulations. (Section 3.4 of the Minnesota Weatherization Assistance Program Policy Manual addresses mixed-use buildings.) If deemed necessary, Minnesota will seek approval from the USDOE Project Officer for the weatherization of a nontraditional dwelling. Single family structures must be occupied prior to weatherization. The weatherization of non-stationary campers and trailers that do not have a mailing address associated with the eligible applicant is not allowed per DOE regulation.

Service Providers are required to complete a State Historic Preservation (SHPO) review for all dwellings prior to the commencement of any weatherization activity. Minnesota's SHPO Programmatic Agreement (PA) was extended until 12/31/2025. Compliance monitoring includes verification of SHPO review and previous weatherization status in sampled household files.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental dwellings have equal access to WAP services as owner-occupied dwellings with household eligibility determined as described previously.

Per 10 CFR 440.22, Service Providers may weatherize rental properties where tenants do not directly pay heating bills, provided the benefits of weatherization accrue primarily to the income eligible tenant(s).

In those cases, property owners must provide detailed justification to Service Providers indicating how benefits of weatherization will accrue to tenants.

Examples of accrual of benefits to tenants who do not directly pay heating bills include, but are not limited to:

- Investment of the energy savings from weatherization work in specific health and safety improvements with measurable benefits to tenants,
- Longer term preservation of the property as affordable housing,
- Investment of the energy savings in facilities or services that offer measurable and direct benefits to tenants,
- Improvements to heat or water distribution and ventilation to improve the comfort of residents,
- Continuation of protection against rent increased beyond the local written agreements required under WAP regulations (10 CFR 440.22), and
- Establishment of a shared savings program.

Once deemed sufficient by the Service Provider, Minnesota approval is required prior to beginning weatherization work.

Service Providers and property owners are required to sign a Property Owner Agreement prior to the start of weatherization work which must contain several elements:

- The Property Owner Agreement must contain written permission of the building owner (or agent) for Weatherization service personnel to undertake weatherization work on the building.
- The Property Owner Agreement must state that rent on WAP weatherized properties (those using USDOE funds) cannot be increased because of the increased property value associated with the weatherization work. This agreement is required to be in force to cover "a reasonable period of time after weatherization work has been completed."
- Property Owner agreements must contain language that no undue or excessive enhancement shall occur to the value of the dwelling unit being weatherized.
- Tenants may file complaints to Service Providers, Minnesota, or both if concerns arise over the agreed upon terms of the Property Owner Agreement. Property Owners, in response to such complaints, shall demonstrate that the rent increase concerned is related to matters other than the weatherization work performed.

During Annual Administrative Monitoring, Minnesota confirms that each Service Providers has a Property Owner Agreement in place and that it is in compliance with Minnesota WAP Policy.

Eligibility for each building in a multifamily complex of buildings is determined separately. For a multifamily building to be eligible for weatherization services, at least 66% of the building units (50% for duplexes and fourplexes and certain eligible types of large multifamily buildings).

Minnesota requires the property owner to financially contribute to the weatherization of a multifamily

property with five or more dwelling units, except in cases where the property owner also qualifies for weatherization services. Service Providers have discretion in setting the level of contribution. Local Service Providers may choose to require a property owner contribution when weatherizing rental properties containing 2-4 units. Property owner participation may be used to buydown an Savings to Investment Ratio (SIR).

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

Property owner contributions for single family dwellings may not be required but can be accepted.

In Minnesota, duplexes and fourplexes are eligible for weatherization services if at least 50% of the building units meet one of the following:

- Have income-eligible households in the dwelling units, or;
- Will have income-eligible households in the dwelling units within 180 days under a Federal/State program for rehabilitating the building.

**Describe the deferral Process**

There are conditions or situations when an eligible dwelling unit should not be immediately weatherized, but rather deferred until unacceptable conditions are mitigated. A deferral determination may be made during the eligibility process, during the audit, or after weatherization work has begun.

Service Providers may elect to defer a home from receiving weatherization services when health and safety hazards exist for the staff, contractors or clients, or when conditions exist in the home which cannot be addressed by WAP and which prevent the safe and effective implementation of weatherization measures. Weatherization work will be postponed until the problems are resolved or alternative resources are found to address the hazards.

Service Providers are expected to pursue reasonable options on behalf of the dwelling owner and to use good judgment in dealing with difficult situations. Service Providers shall not defer service without pursuing other options and identifying other resources to address the identified hazards. Whenever appropriate, educational information on how to address the hazard is shared with the occupant. If corrections are made to the deferred dwelling and the corrections eliminate the issue that led to the deferral, the Service Provider may proceed with weatherization so long as the household's EAP application is current and approved.

Service Providers are required to track deferred units and deferral reasons in a centralized location in the production software. This is also the software that tracks eligibility and so those records are connected through the software. The record for each deferred household is assigned a deferral reason which may include vermiculite, clutter, structural repair issues, etc.

Conditions where Service Providers must not use DOE funds to weatherize dwellings include:

- The dwelling was weatherized less than 15 years prior to the current date;
- The dwelling is scheduled for demolition;
- The condition of the structure would make weatherization impossible or impractical (e.g. inability to meet SWS).

Other deferral situations may arise as the result of a review and judgement made by the Service Provider. Examples where the deferral may occur, depending on the Service Provider assessment, include, but are not limited to:

- The dwelling is in the process of being sold;
- The dwelling is in the process of being remodeled;
- The owners have refused cost effective measures determined by the energy modeling software tool. Service Providers must then defer that dwelling per WPN 19-4 attachment 8 unless approval from Minnesota is requested and approved;
- 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 cost-effectively;
- The house has sewage or other sanitary problems that would further endanger the client and or weatherization installers if weatherization work were performed;
- The house has been condemned or a major household system (electrical, heating, plumbing, or other equipment) has been "red tagged" by a local or state building official or a utility, and the unacceptable conditions cannot be resolved with WAP funds;
- The dwelling has severe moisture problems that cannot be resolved under existing health and safety measures and with minor repairs;
- The dwelling has dangerously high carbon monoxide levels in combustion appliances that cannot be resolved under existing health and safety measures;
- The extent and condition of lead-based paint in the house would potentially create further health and safety hazards;
- The energy auditor determines a condition(s) exists which may endanger the health or safety of the work crew or subcontractor, requiring that the work not proceed until the unsafe condition is corrected;
- The client has a known health condition(s) that prohibits the installation of insulation and other weatherization materials;
- Dwellings which contain vermiculite insulation, as all vermiculite insulation is assumed to contain asbestos.
- The cost to weatherize a home is so significant that it will negatively impact the Service Provider's ability to meet the statewide average cost per dwelling. Minnesota must be notified in writing prior to deferring a dwelling for this reason.

Service Providers may also defer households for the reasons below. In these cases, Service Providers must issue, in a timely manner, written notification to the client. Client signatures on a deferral form are not required in cases where Service Provider staff feel threatened or unsafe. In these cases, notification by certified mail is recommended.

- The presence or use of any controlled substance is evident or observed by auditors, inspectors, contractors, crews, or anyone else who must work on or visit the home;
- The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

- In cases where an individual client feels a deferral is unfairly determined, the client may appeal a decision to defer.

Additional information about deferral process can be found in the Minnesota Weatherization Assistance Policy Manual Section 3.8 (Policy Manual attached).

A client whose home is deferred must be informed of their right to appeal per the client appeals policy outlined in policy Minnesota Weatherization Assistance Policy Manual Section 1.6.

### V.1.3 Definition of Children

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

### V.1.4 Approach to Tribal Organizations

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

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

All eligible households, including those with Native American Indian members, are served equally without regard to race, color, national origin, gender, or religion. The Minnesota Weatherization Assistance Program contracts directly with three of Minnesota's tribal nations. Tribal sub-grantees for the Minnesota WAP program are Fond du Lac Reservation Business Council, White Earth Reservation Tribal Council, and the Mille Lacs Band of Ojibwe. The other five tribal nations within Minnesota are served by the WAP Service Providers who serve the closest geographic territory to tribal lands.

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

Minnesota serves all 87 counties in the state and provides equal access to WAP services for all eligible households. The Minnesota Weatherization Assistance Program serves these 87 counties via a network of 23 Service Providers. Service Providers are either Community Action Partners, Tribal Nations, Counties, or other nonprofit organizations.

In the event that a Service Provider relationship with Commerce and the Weatherization Assistance Program is ended, regardless of the reason, a temporary provider will be identified from among the existing group of Service Providers. Commerce will identify the temporary provider and invite them into a short-term agreement with Commerce.

At the same time, Commerce will initiate a Request for Proposal Process following all DOE regulations and state requirements and processes. At the conclusion of this process, a permanent provider will be identified and Commerce will follow usual contracting and funding processes.

### V.3 Priorities

As required by federal regulation, Minnesota WAP prioritizes households which contain:

- Children under 19;
- Persons with disabilities;
- Elderly persons;
- A high-energy burden;
- High-energy use.

On an annual basis, WAP staff work with LIHEAP staff to determine thresholds for high energy use and high energy burden. In PY20, Minnesota updated the high energy burden priority to use the median energy burden for all low-income Minnesota households from the American Communities Survey data from 2016 that was made available through the LEAD tool.

Service Providers set the order of priorities to determine which households to weatherize first and may elect to use a combination of priorities to best serve the eligible population in their service territory. Service Providers may also choose to queue waiting households within a prioritization category based on the length of time since the EAP/WAP application approval date. Service Providers are required to have a documented policy for their prioritization system, and they must not discriminate due to housing type.

High energy use households, especially those without secondary heat sources, may be prioritized by a Service Provider when an energy crisis is anticipated or in the year following an energy crisis, especially for households using high-cost fuels such as propane.

Service Providers communicate to Minnesota the household prioritization criteria they will use and then select from eligible applicants in their Service Area based on the prioritization system they have documented. Minnesota staff monitor for performance against goals during the annual Administrative Monitoring visit.

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

**V.4 Climatic Conditions**

Minnesota has a continental type of climate, subject to frequent outbreaks of continental polar air during the cold season and periods of prolonged heating during summer, particularly in the southern portion of Minnesota. Mean annual temperatures range from 37.4 ° F in the extreme north to 48.85 ° F along the Mississippi River in the southeast. State temperature extremes range from 60 to 114° F. Monthly mean temperatures vary from 85° F in the southwest to 11° F in the northwest. Mean temperatures during January in the northern portions of the State average near 4° F.

Minnesota is located in International Energy Conservation Code Climate Zones 6 and 7. Minnesota uses the Weatherization Assistant software and adjusts for client’s specific climatic conditions and fuel costs as appropriate.

Annual	Heating Degree Days	Cooling Degree Days
Duluth	9818	180
International Falls	10487	249
Minneapolis	7981	682
Rochester	6734	425

(Sources: National Weather Service and Minnesota Department of Natural Resources)

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

**V.5.1 Technical Guides and Materials**

All weatherization work in Minnesota is performed in accordance with DOE-approved procedures, including the appropriate DOE-approved energy audit (single family, multifamily, or mobile home), the Minnesota WAP Policy Manual, 10 CFR 440 Appendix A, and the Standard Work Specifications (SWS). Minnesota provides Service Providers with “RETROFITTING MINNESOTA: STANDARD WORK SPECIFICATION-ALIGNED FIELD GUIDE” ([Retrofitting Minnesota – SWS-Aligned Field Guide for Weatherization Crews \(mn.gov\)](#)), which contains information about audits/testing, installation of energy conservation, health and safety, incidental repair measures, final inspections, and the Minnesota SWS Variances. The Field Guide was approved and went into effect in January 2021 and the [Minnesota variances](#) were updated and reapproved by DOE in August of 2018 and went into effect January 17, 2019. A multifamily field guide based on NREL’s Multifamily SWS also was approved by DOE and went into effect January 2021.

All sub-grantee Service Provider contracts contain the following language confirming the receipt of, and conformance with, all applicable USDOE WPNs and Memoranda, the MN WAP State Plan, the MN WAP Policy Manual, and the MN WAP Field Guide including the SWS for single family, multifamily and mobile homes.

“The Grantee will perform work and expend funds within the above timeframes. Work must be performed in full accordance and to the quality of the specifications outlined in the following: The Minnesota WAP Policy Manual, Minnesota WAP Weatherization Field Guide, for single family, multifamily and mobile homes, the Standard Work Specifications (SWS), and Minnesota’s DOE Approved SWS Variances.”

**Minnesota WAP Sub-Grantee Contracts**

Sub-grantees have access to the WAP Policy Manual, Field Guide, and a number of other documents and information resources at the [provider-facing weatherization site](#). In signing the contract, sub-grantees confirm that they have read and acknowledged the expectations for work quality as outlined in the contract. Additional information on all standards is available through training opportunities and through technical assistance received during monitoring or by sending an email to the weatherization inbox seeking technical guidance.

Service Providers are required to include similar language in their contracts with contractors who perform work for WAP. MN WAP Policy Manual Section 7.4.3 requires:

1. There is written agreement with all contractors specifying the terms and conditions under which work will be performed, including consequences for noncompliance or underperformance
2. Contracts confirm terms, conditions, and specification of the agreement.
3. Contractors complete work that is in accordance with the policies in this manual.

These contracts include acknowledgement that their contractors have read and acknowledged the expectations for work quality including the Minnesota WAP Policy Manual, [Retrofitting Minnesota Standard Work Specification-Aligned Field Guide](#), the [Standard Work Specifications \(SWS\)](#), and Minnesota’s DOE Approved SWS Variances. Contractor signatures on the contract indicate receipt of the relevant documents and agreement to conduct weatherization work to the indicated standard. Dependent on the individual Service Provider, these are provided as hard copies or web links. Administrative monitors review contracts for compliance. Field monitors, through monitoring inspections, confirm conformance with the SWS.

The following materials are approved for use and not in Appendix A of CFR 440:

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

- Grantee-administered fuel switching authority 2/10/2016
- LED lighting approved by DOE 4/8/2016
- Spray foam as an insulation material 9/4/2018
- NEAT/MHEA ECM lifetimes 3/20/2019.
  
- Refrigerators 7/9/2019
  
- Domestic hot water (DHW) heater replacements 7/9/2019
- Single-Family Solar photovoltaics (PV) as a pilot 9/5/2019
- ECM Furnace Motor Replacements 4/13/2021
- Photovoltaic Systems (PV) within the constraints of the NEPA waiver 7/26/2021

Field guide types approval dates

Single-Family: 2/10/2021
Manufactured Housing: 2/10/2021
Multi-Family: 2/10/2021

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name:
Approval Date: 2/10/2021

Audit Procedure: Manufactured Housing
Audit Name:
Approval Date: 2/10/2021

Audit Procedure: Multi-Family
Audit Name:
Approval Date: 7/3/2019

Comments

All dwellings scheduled for weatherization must have a comprehensive energy audit that treats the dwelling as a whole system. Minnesota has received approval from the Department of Energy to use the current version of Weatherization Assistant (v. 8.11.0.1) through 2026. Prior to that expiration however, Weatherization grantees will migrate to the online version of Weatherization Assistant (WA) or an alternative approved solution.

Weatherization measures for a dwelling are considered cost effective if the Savings to Investment Ratio (SIR) is 1 or greater for each measure and for the job as a whole. In addition to DOE approved conservation measures, Minnesota WAP Service Providers also install health and safety and general (incidental) repair measures as dictated by the audit on each dwelling. Minnesota also uses WA for multifamily audits of all buildings up to four units and up to twenty-four units for specific building types.

**V.5.3 Final Inspection**

The Minnesota Weatherization Policy Manual specifies the activities and tests that must be completed in a final inspection and the process for rework should the need arise (MN WAP Policy Manual 4.6). Final inspections on weatherized homes are conducted to confirm that all work was done to the SWS standards and in a workmanlike and professional manner. Dwelling units may not be reported as complete until all work passes a final inspection and all required signatures are obtained on the required forms. Each Service Provider or its authorized representative is required to use a certified Quality Control Inspector (QCI) who is in good standing with the Building Performance Institute to conduct all final inspection of all dwelling units. The QCI may oversee and signoff on final inspection duties conducted by non-QCI certified staff related to NEAT data entry, fiscal entry, etc.

At the beginning of each program year, Service Providers will provide Minnesota the names and BPI certification numbers of the QCIs they intend to use for final inspections. Minnesota will maintain a current list of QCIs to ensure that adequate numbers are available to inspect all jobs statewide.

Minnesota uses monitoring forms that are provided to Service Providers prior to monitoring visits (Included in attachments to SF-424). These forms are structured to ensure

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

compliance with the work quality requirements outlined in WPN 22-4 Section 1.

Service Providers will provide QCI-certified inspections according to the following protocol:

Independent QCI: A final inspection on every home will be conducted by a QCI who was not involved in the weatherization work on the home, either as the auditor or as a member of the crew. State field monitoring will be done through Minnesota by a certified QCI. Minnesota will conduct field monitoring visits of at least five percent of all completed units.

Minnesota also conducts desk monitoring to ensure that QCIs are performing final inspections.

QCI Shortage: To meet production goals in a timely manner, Service Providers are responsible for maintaining staff and/or contractual relationships with QCI certified inspectors. In the case of a shortage of QCI certified inspectors in the service territory, Minnesota may choose to allow the following, in accordance with WPN 20-4:

The QCI certified auditor performs the audit and the final quality control inspection. The auditor is not involved in any of the actual work on the home. In this case, a Minnesota certified QCI or DOE approved representative will perform quality assurance reviews of at least 10 percent of all completed units as this model does not allow for an independent review of the audit on every home.

Additionally, the Service Provider will be required to develop and submit a quality assurance plan to ensure that the individual who is functioning as both the auditor and the quality control inspector is able to consistently perform both tasks. Minnesota may choose to reduce the respective Service Provider Training and Technical Assistance allocation to cover the expense of increased monitoring.

In PY22, Minnesota introduced a Quality Control Inspector Mentoring Program. Under this initiative and with prior approval, Service Providers designate QCI mentees and during the designated time period, mentees conduct final inspections with oversight from the QCI mentor. The mentor is responsible for reviewing all mentee's field inspections and providing on the job training. When this approach is in place, Minnesota field monitors will monitor a minimum of 10% of units inspected by the mentee.

Disciplinary Actions: If a QCI is found to be negligent, either through repeat findings or gross negligence in their duties, Minnesota, with or without the support of a Service Provider, may institute the following:

1. Additional training
2. Temporary suspension (e.g., six months)
3. Permanent suspension and written notification to BPI

## V.6 Weatherization Analysis of Effectiveness

### Weatherization Analysis of Effectiveness

Minnesota evaluates the effectiveness of Weatherization in three primary ways: evaluation of weatherization results in homes, inclusion of all eligible Minnesotans in the program, and incremental quality improvements of Service Provider delivery and Minnesota support of the program.

#### Results

With over 200 utilities in Minnesota, realized energy savings studies including bill analysis and comparison is not a feasible strategy for evaluating weatherization's effectiveness in the state.

As a proxy, Minnesota monitors Blower Door Test results. While imperfect because of the multiple variables involved, Blower Door Test results are useful to engage our Service Providers in conversation about approaches and processes.

With the goal of understanding energy conservation opportunities- those taken and those missed- Minnesota staff review blower door results. When outliers are found or unexpected results are noted, the conversation with individual service providers begins.

Minnesota staff may have an opportunity to explore more missed opportunities. Discussion may include suggestions about how Blower Door improvements are estimated, air sealing is approached, and other best practices in weatherization. Service Providers may share information about difficult homes with unusual or unexpected circumstances, the challenges of scarcity of contractors and the impact on Savings-to-Investment ratios.

Rather than evaluating these results in a pass/fail framework, Minnesota uses them as a starting point for identifying steps of continuous improvement around the decision-making processes that go into weatherization as well as the implementation of those decisions in the application of weatherization.

#### Equity and Inclusion

Minnesota continues commitment to the equity of its delivery of the Weatherization Assistance Program. Evaluation includes analysis of who is being served as well as who is engaged in delivery these services across the state.

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

Through the development of the WAPMAP, a tool which allows for efficient identification of historical service levels, Minnesota is gaining an understanding of missed opportunities in our service delivery. Building on the WAPMAP, Minnesota is creating an Equity Gap analysis to identify specific populations which have been underserved and are good potential for specialized outreach.

Specific outreach efforts are incorporated into the WAP BIL and Weatherization Outreach positions proposed and will involve new outreach materials and efforts to bring in potential clients that are not currently connected to the weatherization program.

At the same time, Minnesota has been selected to begin negotiation for funding through the Community Scale Pilot Project. This work will focus on manufactured home parks but will serve as a model on outreach and delivery of weatherization in a geographic or affinity community.

Also supported in the WAP BIL and potentially through state funding, Minnesota is additionally focused on workforce development with special consideration for pipeline training from previously underrepresented communities in weatherization workforce.

Quality Improvement

Minnesota is committed to supporting Service Providers in quality improvement as well as our own continuous improvement.

For Service Providers, Minnesota conducts both administrative and field monitoring, periodic desk reviews, and analysis of each Service Provider. The assessments delve into interviews with WAP staff, onsite visits to homes that have received WAP services, and regular desk monitoring of Service Provider production and spending statuses.

Minnesota also works with other agency partners to monitor performance. WAP staff work closely with LIHEAP and Minnesota Department of Human Services staff to identify any systematic issues. Minnesota's fiscal division reviews third party single audits for all Service Providers. Management decision letters are issued if the audit indicates findings related to WAP or crosscutting findings that affect the management of WAP.

When monitoring issues are found (compliance or finding, dependent on level of severity), Minnesota notes that in the Monitoring Report with a required action associated. The Monitoring Report remains open until the Service Provider satisfactorily addresses the initial concern and provides appropriate documentation. When all issues have been addressed, the Monitoring Report is closed and communicated to the Service Provider.

Using the information gathered through monitoring efforts, Minnesota continues to develop and offer trainings to address identified issues. Greater emphasis has been placed on sharing best practices among Service Providers.

In pursuit of its own quality improvement, Minnesota incorporates DOE Monitoring Feedback along with feedback from its Service Provider network and review of sub-grantee performance.

Minnesota receives feedback from the sub-grantee network in two formal ways. Our service provider network meets regularly as the Minnesota Weatherization Advisory Group (MWAG). The co-chairs of MWAG lead these meetings, gather feedback from members, and funnel that feedback to the Minnesota WAP Program Director.

Minnesota also gathers information through DOE's American Customer Satisfaction Index. This feedback is reviewed with the weatherization staff and consideration is given as to how specific items can be improved. Past impacts have included network input on policy development and improved clarity and communication in monitoring activities.

Minnesota also reviews the full scope of monitoring issues encountered by the administrative and field monitors. Where trends or consistent issues are identified, consideration will be given to the appropriate response which may include communication pieces, individualized technical assistance, or formal training. This review may also instigate additional focus in monitoring or additional resources for monitors to provide as technical assistance during visits.

**V.7 Health and Safety**

See Attachment

**V.8 Program Management**

**V.8.1 Overview and Organization**

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

The Minnesota Department of Commerce serves as the statewide administrator of Minnesota's Weatherization Assistance Program (WAP). The Division of Energy Resources includes not only WAP but also the State Energy Program (SEP), Low Income Energy Assistance Program (LIHEAP), and the Conservation Improvement Program (CIP), as well as other energy regulatory departments. Grouping these programs (especially LIHEAP and CIP) provides the best opportunities for coordination of programs affecting low-income households. Reorganization within the Department of Commerce in PY22 has drawn the Energy Assistance and Weatherization Assistance Programs even closer together under the leadership of the Energy Affordability Director, providing additional opportunities for alignment.

In addition to USDOE funds, Minnesota manages LIHEAP and Propane funds for weatherization. USDOE funds are governed by the WAP State Plan. LIHEAP funds are governed by the LIHEAP State Plan and Propane funds are governed by relevant Minnesota statute.

WAP staffing consists of a Program Director, the Program Effectiveness Coordinator, Program Administrator, two Administrative Monitors, Training Principal and Training Specialist, the Technical Proficiency Coordinator, four Field Monitors, a Field Trainer, the Equity and Innovation Coordinator, Lead Projects Developer, and an Outreach and Workforce Administrator. (Organization Chart attached to SF-424) The Weatherization team is overseen by the Energy Affordability Director.

Minnesota annually contracts for program delivery activities with twenty-three local Service Providers. These Service Providers include Community Action Agencies, tribal nations, a private nonprofit agency, and a community development authority.

### V.8.2 Administrative Expenditure Limits

In PY23 Commerce will retain 5.25% of USDOE Program Year funds for statewide program administration. The remaining 9.75% will be allocated to sub-grantees by the allocation formula.

Sub-grantees who receive less than \$350,000 in USDOE funds receive up to an additional 5% for administrative purposes. The additional funds will come from sub-grantees' program allocation and will be inversely prorated according to the amount of USDOE funds received. The higher a sub-grantee allocation, the less the sub-grantee will receive in additional administrative dollars. The prorated formula percent decreases at a rate of 0.5% per \$25,000 until the allocation reaches \$350,000.

### V.8.3 Monitoring Activities

The overall goals of monitoring are to ensure compliance with federal and state rules and policies and establish the efficiency, quality, and effectiveness of Service Provider operations. An additional goal is to identify and correct issues that have the potential to cause major program deficiencies.

Staff with responsibility for monitoring include: the Weatherization Assistance Program Director, the Training and Technical Assistance Principal, Field Monitors (4), Program Coordinator, and Administrative Monitors (2). All Field Monitors are QCI-Certified. Because work with Service Providers has a broader focus than just compliance, TTA dollars support activities in this area. Thirty-seven percent of all admin/TTA funds are allocated for monitoring activities.

Monitoring strategies include the following:

Weatherization Inbox: Service Providers are encouraged to submit weatherization program or policy questions to Minnesota staff via a group email box. Responding to these questions from Service Providers serves two monitoring purposes: reduction in the number of monitoring compliance issues and documentation of technical assistance responses for consistency.

Desk monitoring: Desk monitoring includes ongoing review of monthly programmatic data submitted by Service Providers. Examples of reviewed data include number of units completed, number of units in progress and blower door readings. Fiscal data is also reviewed and includes Service Provider monthly expenses and cash requests against allocations.

Fiscal review also includes audit review and financial reconciliation. Each Service Provider is required to submit their annual single audit no more than nine months after the conclusion of the agency's fiscal year. Minnesota's Senior Accounting Officer reviews the audits for any internal control issues, crosscutting findings, or management issues. If there are any findings for Federal Programs, the Senior Accounting Officer sends the Service Provider a management decision letter that outlines the findings from the audit report and requests follow up. If Minnesota Department of Commerce is the cognizant agency, this management decision letter is also submitted to other Federal funding agencies.

Administrative Monitoring: Administrative Monitoring takes place to document local Service Providers' program management, internal controls, and administrative capacity to deliver WAP services.

Field Monitoring: All Minnesota field inspections are conducted by a certified Quality Control Inspector who ensures compliance with the Standard Work Specifications.

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

PY23 Monitoring Visit Details and Tentative Schedule

A Risk Assessment is conducted prior to the start of the program year to determine priority in monitoring. The Risk Assessment weighs issues like size of allocation, staff expertise and experience, and past monitoring results. For both field and administrative monitoring, additional visits are scheduled, as needed, to address specific Service Provider issues as they arise.

Administrative and Field Monitoring visits are scheduled from August through May to best fit the demands of the program year.

Administrative Monitoring

Each Service Provider receives a minimum of one administrative monitoring event annually. The components of Administrative Monitoring include:

1. Pre-Monitoring Review

Administrative Monitoring Tool: Service Providers complete an Administrative Monitoring Tool prior to the monitoring. This Tool gives the monitor information about the approach used by the Provider (contractor vs crew, set price list vs. bidding, etc.) as well as other information on relevant compliance issues.

2. Review

During the virtual monitoring visit, Administrative Monitors review the pre-visit information with Weatherization staff of each Service Provider as well as discuss production, spending, workflow, staffing, and other relevant processes.

These reviews include follow-up on issues raised in desk monitoring and prior monitoring reports, as well as any other issues as needed, including but not limited to:

- Client/Household eligibility
- Distribution of services between renters and owners
- Geographic distribution within the Service Provider service territory
- Reporting compliance
- Internal controls related to financial management and operations
- Fiscal Audits
- Payroll/Personnel
- Vehicles and equipment
- Invoicing
- Staff qualifications and training
- Procurement procedures
- Outreach efforts to incorporate minority and disadvantaged contractors

Household file reviews: Administrative monitors randomly sample files prior to visits to demonstrate compliance with DOE, Minnesota, and local Service Provider policies such as Client/Household eligibility, distribution of service, and adherence to procurement procedures.

Contractor/Crew file review: Administrative monitors randomly sample contractor files to ascertain adherence to contract requirements as outlined in the Minnesota Weatherization Assistance Program Policy Manual (and DOE guidelines).

Monitors conclude the visit with a brief “exit interview” intended to provide Service Provider staff with a high-level review of any issues found during monitoring.

3. Monitoring Report

Monitors review all site documentation, discuss outstanding issues with the monitoring team, and generate a monitoring report. This report includes any findings, compliance issues, recommendations, or best practices. The Service Provider receives the report within 30 days of the Site visit and is asked to respond within an additional 30 days.

Field Monitoring

Each Service Provider receives at least one onsite field visit per year, with a minimum of 5% of

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

all weatherized households monitored statewide. All Minnesota field inspections are conducted by certified Quality Control Inspectors.

1. Pre-Visit Review

Field Monitors review household files for required data, forms, signatures, bids, invoices, and other documentation. Field Monitors also review audits for the households monitored including data inputs and audit library checks to determine if they are current.

2. Review

Field Monitors review the pre-visit information with Weatherization staff at each Service Provider. These reviews include follow-up on issues raised in desk monitoring and prior monitoring reports, as well as any other issues as needed, including but not limited to:

- Administrative field work (Client file review, Work orders, Audit reporting)
- Energy audits
- Fuel costs library accuracy
- Training & Technical Assistance activities and needs
- Weatherization of units
- Health and safety
- Final inspections and verification that all inspections are performed by a QCI
- How monitoring results are handled and required follow-up procedures
- Lead-safe work practices Quality Assurance
- Compliance with Standard Work Specifications (SWS)

Inspections of dwellings: Inspections of completed dwellings are conducted to determine compliance with federal and state requirements, client satisfaction and work quality. Field Monitors also spot check ASHRAE measurements and calculations. Minnesota also may choose to visit "in progress" jobs. All household inspections are completed by a certified Quality Control Inspector.

At the conclusion of the visit, Service Providers are briefed on observations, compliances issues and findings in an exit interview. Health and Safety issues are noted at that time of the visit,

particularly if they present an imminent danger to occupants.

3. Post Visit Report

Field Monitoring Reports: Written reports are provided to Service Providers within 30 days of the Service Provider visit and include information on compliance issues as well as observations on best practices or client satisfaction.

Issue Resolution

Once monitors send the monitoring report, the Service Provider is asked to respond within 30 days. Responses may include correcting individual errors, describing new systems to avoid future errors, or return of funds for disallowed costs. All information about compliance issues and resolutions are tracked and documented including the date and number of all visits by the monitors, any findings, concerns, or other issues, and resolution.

Corrective Action/Removal

In the event that a Service Provider remains out of compliance following monitoring or other interventions, Minnesota will follow the Corrective Action Process outlined in the Minnesota Weatherization Program Policy Manual and as noted below.

Minnesota may impose additional requirements on a Service Provider in a written Corrective Action Plan. Corrective Action Plans may be issued in response to single issues of noncompliance or larger internal control, administrative or programmatic issues. Written Corrective Action Plans include:

- Nature of the requirements and why they are being imposed;
- Corrective actions that are needed; and
- Deadline(s) for meeting terms of the Corrective Action Plan.

With or without a Corrective Action Plan in place, Minnesota may take one or more of the following actions in response to noncompliant activity, as appropriate:

- Conduct additional monitoring visits;

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

- Impose additional training or technical assistance requirements on the Service Provider;
- Require additional, more detailed financial reports;
- Make payments to the Service Provider on a reimbursement basis only;
- Withhold cash payments to the Service Provider, on a temporary basis, pending correction of deficiencies or until stated performance benchmarks are reached;
- Disallow costs for noncompliant activities and/or expenses;
- Suspend or terminate the current contract, either wholly or partially;
- Withhold further contracts with the Service Provider, or;
- Institute other actions as needed.

If a Corrective Action Plan is necessary, Minnesota will work with the Service Provider to resolve issues.

In the case that a Service Provider continues to be out of compliance and with or without a Corrective Action plan in place, Minnesota may impose additional sanctions. These may include additional monitoring visits, financial reporting, training, or technical assistance requirements, or making payments on a reimbursement basis only.

If noncompliance issues are still not resolved, Minnesota may terminate a Service Provider’s WAP contract upon 30 days written notice. Minnesota may elect to immediately terminate the contract if it is found that the Service Provider has failed to comply with the contract, reasonable progress has not been made, or the purposes for which the funds were granted have not been or will not be fulfilled.

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

See Attachment for full Training and Technical Assistance Plan

Percent of overall trainings

Comprehensive Trainings:

Specific Trainings:

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

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

The purpose of the Minnesota Disaster Plan is to allow the WAP program to respond quickly and effectively to disasters that affect the lives and dwellings of low-income households. This plan reflects the requirements of WPN 12-7 and will be implemented whenever and wherever there is a federal or state disaster designation. For weatherization purposes, a disaster is determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency.

Goal: In the event of a disaster, low-income households often incur the greatest hardship and have the least available resources to assist them in recovery. Minnesota’s WAP goal is to assist eligible households, within the confines of WPN 12-7, in restoring their dwellings to the pre-disaster state.

Household Eligibility: Households in disaster areas must meet the same eligibility criteria as other WAP eligible households. WAP rules (10 CFR 440.16(b)) require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users and households with high energy burdens. It is permissible to consider households located in the disaster area as a priority as long as the households are eligible, meet one of the priorities established in regulation, and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

Dwelling Eligibility: In order for a dwelling to be considered eligible for WAP assistance under this plan it:

- Must be occupied by an eligible household
- Must be in a federal or state designated disaster area, or is located in a county contiguous to the official disaster counties and sustained damage caused by the disaster
- Must be a habitable structure or will be once all work is complete

Either:

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

**(Grant Number: EE0009910, State: MN, Program Year: 2023)**

- Was an in progress WAP unit at the time of the disaster where already installed materials were damaged or destroyed by the disaster; or
- Was previously weatherized and materials installed with weatherization funds were damaged or destroyed by the disaster.

Priority of Service: Disaster-damaged dwellings will be a priority in designated disaster areas. Both in progress and previously weatherized dwellings are included. This priority designation will last for up to one year, depending upon the circumstances of the disaster, unless determined otherwise by Minnesota.

Eligible Activities: The use of USDOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials. All dwellings must have a current energy audit in order to determine which of the following allowed activities are needed and feasible within the parameters of the WAP rules and guidance:

- Securing weatherization materials, tools, equipment, weatherization vehicles or protection of local agency weatherization files, records and the like during initial phase of disaster response
- The cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective
- The cost of eliminating health and safety hazards which is necessary before the installation of weatherization materials
- Removal of previously installed weatherization and/or health and safety materials that are damaged beyond repair and will be replaced as part of the current activity
- Installation of weatherization materials as described in the State Plan and the MN "Allowed Activities and Measure Type Chart"

Service Providers may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the OMB regulations, 2 CFR Part 200.

Work Quality/Inspection: All work must be completed according to the standards contained in the WAP Policy Manual, Standard Work Specifications, and field guides, as well as building, mechanical or other relevant codes. No unit will be counted as complete until all materials are installed in a quality manner and have passed a Quality Control Inspection by Service Provider staff.

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

Deferral: Some dwellings may be found to be unsalvageable, uninhabitable, or beyond the scope of the WAP assistance because of a disaster. The Service Provider will carefully evaluate, document, and inform the client in writing of the reasons for the deferral determination.

Required Documentation: Files must contain sufficient documentation to establish the eligibility of the household and dwelling, as well as to justify the work performed, in accordance with Minnesota's WAP State Plan and WAP Policy Manual. Such documentation includes but is not limited to:

- Household eligibility
- Certification of disaster status (ex: disaster declaration for the household's county, FEMA letter or habitability document)
- Documentation that all other applicable funds have been used or have been denied prior to the use of WAP funds
- Existing conditions that will be remediated by WAP activities
- Amount of other funds being used in renovation of the dwelling
- Reasons for deferral, where appropriate
- Other, as specified by Minnesota

Costs/Averages: While exact costs for work in disaster-damaged dwellings are anticipated to run somewhat higher than the state average cost per unit, Minnesota will maintain its statewide average at the same level as it would be if there were no disaster completions. Incidental repairs determined necessary that will exceed the \$1,000 per unit limit, will be reviewed by Minnesota on a case-by-case basis.