

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009919		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address New York State 38-40 State Street Albany, NY 122070000		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. DOE	81.042	\$ 1,682,310.00		\$ 29,147,768.00		\$ 30,830,078.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 1,682,310.00	\$ 0.00	\$ 29,147,768.00	\$ 0.00	\$ 30,830,078.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON	(2) SUBGRANTEE ADMINISTRATI ON	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 602,763.00	\$ 0.00	\$ 112,339.00	\$ 0.00	\$ 847,990.00
b. Fringe Benefits	\$ 388,481.00	\$ 0.00	\$ 72,402.00	\$ 0.00	\$ 546,529.00
c. Travel	\$ 55,250.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 55,250.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 26,680.00	\$ 0.00	\$ 26,700.00
e. Supplies	\$ 1,216.00	\$ 0.00	\$ 2,695.00	\$ 0.00	\$ 3,945.00
f. Contract	\$ 0.00	\$ 2,439,822.00	\$ 0.00	\$ 4,213,037.00	\$ 28,762,125.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 483,633.00	\$ 0.00	\$ 66,000.00	\$ 0.00	\$ 549,633.00
i. Total Direct Charges	\$ 1,531,343.00	\$ 2,439,822.00	\$ 280,116.00	\$ 4,213,037.00	\$ 30,792,172.00
j. Indirect Costs	\$ 26,944.00	\$ 0.00	\$ 5,022.00	\$ 0.00	\$ 37,906.00
k. Totals	\$ 1,558,287.00	\$ 2,439,822.00	\$ 285,138.00	\$ 4,213,037.00	\$ 30,830,078.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 1,682,310.00	\$ 0.00	\$ 29,147,768.00	\$ 0.00	\$ 30,830,078.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) FINANCIAL AUDITS	(4) LIABILITY INSURANCE		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 847,990.00	
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 546,529.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 55,250.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 26,700.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,945.00	
f. Contract	\$ 15,911,615.00	\$ 1,591,162.00	\$ 158,788.00	\$ 496,212.00	\$ 28,762,125.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 549,633.00	
i. Total Direct Charges	\$ 15,911,615.00	\$ 1,591,162.00	\$ 158,788.00	\$ 496,212.00	\$ 30,792,172.00	
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 37,906.00	
k. Totals	\$ 15,911,615.00	\$ 1,591,162.00	\$ 158,788.00	\$ 496,212.00	\$ 30,830,078.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

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**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 1,682,310.00	\$ 0.00	\$ 29,147,768.00	\$ 0.00	\$ 30,830,078.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) LEVERAGING	(2) Weatherization Readiness	(3) SERC Grantee Administration	(4) SERC Subgrantee Administration	
a. Personnel	\$ 0.00	\$ 110,700.00	\$ 22,188.00	\$ 0.00	\$ 847,990.00
b. Fringe Benefits	\$ 0.00	\$ 71,346.00	\$ 14,300.00	\$ 0.00	\$ 546,529.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 55,250.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 20.00	\$ 0.00	\$ 26,700.00
e. Supplies	\$ 0.00	\$ 34.00	\$ 0.00	\$ 0.00	\$ 3,945.00
f. Contract	\$ 0.00	\$ 3,451,489.00	\$ 0.00	\$ 37,500.00	\$ 28,762,125.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 549,633.00
i. Total Direct Charges	\$ 0.00	\$ 3,633,569.00	\$ 36,508.00	\$ 37,500.00	\$ 30,792,172.00
j. Indirect Costs	\$ 0.00	\$ 4,948.00	\$ 992.00	\$ 0.00	\$ 37,906.00
k. Totals	\$ 0.00	\$ 3,638,517.00	\$ 37,500.00	\$ 37,500.00	\$ 30,830,078.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 1,682,310.00	\$ 0.00	\$ 29,147,768.00	\$ 0.00	\$ 30,830,078.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SERC Health and Safety	(2) SERC Program Operations	(3)	(4)	
a. Personnel	\$ 0.00	\$ 0.00			\$ 847,990.00
b. Fringe Benefits	\$ 0.00	\$ 0.00			\$ 546,529.00
c. Travel	\$ 0.00	\$ 0.00			\$ 55,250.00
d. Equipment	\$ 0.00	\$ 0.00			\$ 26,700.00
e. Supplies	\$ 0.00	\$ 0.00			\$ 3,945.00
f. Contract	\$ 50,000.00	\$ 412,500.00			\$ 28,762,125.00
g. Construction	\$ 0.00	\$ 0.00			\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00			\$ 549,633.00
i. Total Direct Charges	\$ 50,000.00	\$ 412,500.00			\$ 30,792,172.00
j. Indirect Costs	\$ 0.00	\$ 0.00			\$ 37,906.00
k. Totals	\$ 50,000.00	\$ 412,500.00			\$ 30,830,078.00
7. Program Income	\$ 0.00	\$ 0.00			\$ 0.00

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

**(Grant Number: EE0009919, State: NY, Program Year: 2023)**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Action for A Better Community Inc. (Rochester)	\$568,493.00 157
Adirondack Community Action Programs, Inc. (Elizabethtown)	\$144,613.00 40
Albany Community Action Partnership, Inc. (Albany)	\$469,354.00 129
Association for Energy Affordability (Bronx)	\$1,573,095.00 433
Bedford-Stuyvesant Restoration Corp. (Brooklyn)	\$639,237.00 176
Cattaraugus Community Action, Inc. (Salamanca)	\$460,231.00 127
CEO for the Greater Capital Area, Inc. (Troy)	\$227,008.00 63
Chautauqua Opportunities, Inc. (Dunkirk)	\$301,104.00 83
Columbia Opportunities, Inc. (Hudson)	\$144,613.00 40
Community Action of Greene County, Inc. (Catskill)	\$144,613.00 40
Community Action Planning Council of Jefferson County, Inc. (Watertown)	\$211,198.00 58
Community Development Corporation of Long Island, Inc. (Centereach)	\$1,498,676.00 413
Cortland County Community Action Program Inc. (Cortland)	\$318,219.00 88
Crown Heights Jewish Community Council (Brooklyn)	\$451,191.00 124
Delaware Opportunities, Inc. (Hamden)	\$280,187.00 77
Dutchess County Community Action Agency, Inc. (Poughkeepsie)	\$304,644.00 84
EOP Inc. of Chemung & Schuyler Counties (Elmira)	\$285,890.00 79
Fulmont Community Action Agency, Inc. (Fonda)	\$280,187.00 77
HANAC (Astoria)	\$882,113.00 243
Harlem Community Development Corporation (New York)	\$476,651.00 131
Housing Conservation Coordinators (New York)	\$329,011.00 91
JCEO of Clinton & Franklin Counties, Inc. (Plattsburgh)	\$285,654.00 79
Lewis County Opportunities, Inc. (Lowville)	\$144,613.00 40
Lt. Col. Matt Urban Human Services Center of WNY/PCCB (Buffalo)	\$231,005.00 64

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Margert Community Corporation (Far Rockaway)	\$550,033.00
	152
Mohawk Valley Community Action Agency, Inc. (Utica)	\$579,679.00
	160
Neighborhood Housing Services of South Buffalo, Inc. (Buffalo)	\$592,390.00
	163
Niagara Community Action Program, Inc. (Niagara Falls)	\$375,672.00
	104
Northern Manhattan Improvement Corp. (New York)	\$1,037,537.00
	286
Northfield Community Local Development Corporation of Staten Island (Staten Island)	\$365,053.00
	101
Northwest Bronx Community and Clergy Coalition (Bronx)	\$1,076,041.00
	296
Opportunities for Otsego, Inc. (Oneonta)	\$280,187.00
	77
Opportunity Development Association (Brooklyn)	\$940,230.00
	259
Orleans Community Action Committee, Inc. (Albion)	\$280,187.00
	77
Pathstone Corporation (Rochester)	\$635,686.00
	175
People's Equal Action and Community Effort, Inc. (Syracuse)	\$959,002.00
	264
Pro Action of Steuben and Yates, Inc. (Bath)	\$331,197.00
	91
Regional Economic Community Action Program, Inc. (Middletown)	\$580,026.00
	160
Saratoga County Economic Opportunity Council, Inc. (Ballston Spa)	\$473,130.00
	130
Schoharie County Community Action Program (Cobleskill)	\$144,613.00
	40
Seneca County Office of the Aging (Waterloo)	\$144,613.00
	40
St. Lawrence County Community Development Prog. (Canton)	\$223,303.00
	62
Stoneleigh Housing Inc. (Canastota)	\$144,613.00
	40
Sunset Park Redevelopment Corporation (Brooklyn)	\$949,468.00
	262
Supportive Services Corporation (Lancaster)	\$979,924.00
	270
Tioga Opportunities Program, Inc. (Owego)	\$522,101.00
	144
Ulster County Community Action Committee, Inc. (Kingston)	\$279,866.00
	77
Warren-Hamilton Counties Action Committee for Economic Opp (Glens Falls)	\$306,064.00
	82
Wayne County Action Program, Inc. (Lyons)	\$433,485.00
	121
Westchester Community Opportunity Program, Inc. (Elmsford)	\$974,936.00
	267

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<b>Total:</b>	<b>\$24,810,636.00</b> <b>6,836</b>
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**IV.2 WAP Production Schedule**

Weatherization Plans		Units
Total Units (excluding reweatherized)		6,836
Reweatherized Units		0
Planned SERC Units *		21
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	6,836
C	Total Units Reweatherized	0
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	6,836
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	\$15,911,615.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	6,836
H	Average Program Operations Costs per Unit (F divided by G)	\$2,327.62
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$2,327.62

**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	6836	29.3	200295
	Prior Year Estimate	6935	29.3	203196
	Prior Year Actual	1665	29.3	48784

**Method used to calculate savings description:**

**IV.1 Energy Savings**

On average, New York residents spend about \$219 per month on electricity. That adds up to \$2,628 per year. That's 14% higher than the national average electric bill of

\$2,312. This data means both that needs within the State are greater than in other states, and that there are more opportunities for low-income households to benefit from installation of weatherization measures. In an order issued in June 2016, the NYS Public Service Commission described the energy burden that low-income households in the State currently face and established a policy that no household should have to pay more than 6% of their income for energy costs.

DOE requires states to provide an estimate of the energy savings that can be expected from the program, based on an algorithm that DOE provides; this is summarized in the following chart.

**2023 Energy Savings**

**U.S. Department of Energy  
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<b>Source of Funds</b>	<b>DOE Funds</b>	<b>All Funds</b>
<b>Amount available</b>	<b>\$29,147,768</b>	<b>\$77,763,641</b>
<b>Average savings per unit</b>	<b>29.3 mmBtu</b>	<b>29.3 mmBtu</b>
<b>Value of savings per unit</b>	<b>\$657</b>	<b>\$657</b>
<b>Units to be weatherized</b>	<b>8,808</b>	<b>8,808</b>
<b>First-year savings, mmBtu</b>	<b>258,061</b>	<b>258,061</b>
<b>First-year savings, 2020 dollars</b>	<b>\$5,786,856</b>	<b>\$5,786,856</b>
<b>Savings after 15 years, mmBtu</b>	<b>3,154,784</b>	<b>3,154,784</b>
<b>Savings after 15 years, 2020 dollars</b>	<b>\$77,378,610</b>	<b>\$77,378,610</b>
<b>Average cost per unit</b>	<b>\$2,813</b>	<b>\$8,009</b>
<b>Benefit/cost ratio</b>	<b>2.43</b>	<b>1.00</b>

The Oak Ridge National Laboratory (ORNL) sponsored an evaluation of the Weatherization program to determine energy savings and other impacts in assisted units. Data collection for that study was completed in 2011, and the results were released in 2015. The evaluation showed that the program is most effective in cold climates like New York’s, and that providing weatherization assistance to large multifamily buildings in New York City also provides substantial savings. The study found that “whole-house” weatherization of gas-heated buildings in cold climate states reduced gas usage by 24% when heating system work is not included and 38% when heating systems are replaced. The multifamily study found savings of more than \$263 per unit annually in gas-heated buildings, and more than twice that amount in oil- heated buildings.

Other studies, including a 2010 study of assisted multifamily buildings in New York City sponsored by Deutsche Bank<sup>4</sup> (which was primarily comprised of buildings assisted by the Program), have found savings in excess of 20%, compared to pre- weatherization energy use. Since multifamily buildings account for more than half of the units our program assists each year, these data are encouraging. Together, these findings suggest that in New York State, the DOE algorithm (and so, the data included in the above table) significantly underestimate the actual savings that accrue from New York’s program.

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

**Leveraging and Coordination with Other Programs**

Subgrantees provide a variety of services for low-income clients as a part of their overall mission, and they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. HCR actively supports leveraging and coordination with other programs to supplement funding for the Program.

DOE guidance permits grantees to use a portion of the grant to undertake leveraging activities to generate additional non-Federal resources for Weatherization. HCR intends to use Program funds for this purpose in 2023. HCR estimates that subgrantees will leverage approximately \$10.1 million in other funds in 2023, including \$5.7 million in owner contributions, which DOE excludes from its definition of leveraged funds.

The New York State Public Service Commission will continue to implement the energy initiative known as Reforming the Energy Vision, or REV, to address challenges to the energy industry brought about by aging infrastructure, increasing use of distributed energy resources, climate change and other factors. REV is intended to reform the regulatory environment and transform markets for efficiency and renewables. The Commission recognizes that low-income residents are particularly vulnerable to these challenges and has ordered that REV and related proceedings address low-income needs. In response, New York State Energy Research and Development Authority (NYSERDA) has instituted a Clean Energy Fund that will address these issues, including initiatives that target low-income residents. Subgrantees may use up to \$4,047 of their per unit cap on renewable energy systems with an SIR of greater than 1, per DOE Notice 23-1.

HCR is working with the Commission, NYSERDA, and other agencies to help ensure that needs of low-income clients are addressed through coordination with other funds and programs where possible, and to streamline delivery of all low-income programs available in the State. The following are examples of leveraging efforts HCR currently supports:

- New York will expand weatherization services using \$289 million dollars of funding provided by the Bipartisan Infrastructure Law of 2022 (BIL). The Weatherization Stimulus Program will provide additional funding to subgrantees to increase their annual production amount and expand their energy efficiency portfolio, with an increased emphasis on expanding access to clean energy to historically disadvantaged communities. This program will also create a statewide workforce development program to certify weatherization workers and create a staffing pipeline for residential energy efficiency retrofits. New York supplements weatherization by transferring a portion of its allocation of HEAP funding to the Program. In program year 2023, HEAP funds (not including ARPA) are expected to provide around 60 percent of the funding for the Weatherization Assistance Program and weatherization activities in New York.
- Additional HEAP dollars from the American Rescue Plan Act of 2021 (ARPA) will provide additional funding to the Subgrantees to perform air sealing, envelope improvements, and electrification/electrification ready work scopes. The ARPA program will provide a pilot and training opportunity for the network to advance



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carbon reducing measures while ensuring housing utility affordability.

- NYSERDA administers several efficiency programs that assist low-income households and provides additional opportunities for subgrantees to leverage Program funding. The additional services provided through these programs include electric reduction measures such as energy-efficient appliance replacement, lighting replacement and retrofits, electric domestic water heater measures, cooling usage reduction, energy-efficient motor replacement and retrofit, energy education activities, and Federal (IIJA) funding to be programmed. New York is committed to providing additional support to mitigate the impact of changing energy markets on low-income households.
- WAP will continue to partner with the New York State Housing Trust Fund, which is allocating up to \$7 million to target certain types of housing portfolios that are considered a priority for HTFC, specifically its Section 8 Performance Based Contract Administration portfolio, and hope to expand to other portfolios. This initiative, called Weatherization Preservation Plus (P+), will combine designated state funds for physical building improvements with WAP energy efficiency upgrades in buildings identified as needing deep, comprehensive retrofits.
- Although mandatory owner contributions are not considered leveraged funds by DOE, New York’s owner investment policy is expected to generate more than \$10 million in owner investments during Program Year 2023.
- An interagency referral program has been established with the New York State Office of Temporary and Disability Assistance (OTDA), the State Office for the Aging, and local departments of social services and area aging agencies. These agencies will be encouraged to continue to refer clients to subgrantees for priority service. This program reduces subgrantee overhead, since some of the referred clients are considered categorically income eligible and provides access to other programs administered by the two agencies.
- OTDA operates an emergency heating repair/replacement program for HEAP clients, and HCR encourages subgrantees to coordinate with that program, when possible. This work can expand the scope of services to low-income households, to provide additional opportunities to reduce heating expenditures and address health and safety concerns for this population.
- HCR has initiated an enhanced health and safety effort to promote coordination between Program subgrantees, state and local health departments and administrators of housing rehabilitation and lead hazard control programs. This initiative, aligned with the national Healthy Homes initiative, is expected to provide additional benefits to assisted households and may provide additional funding opportunities for subgrantees.
- HCR’s Office of Housing Preservation is also increasing coordination of Program resources with the HCR Office of Community Renewal to provide comprehensive weatherization services and additional repair and rehabilitation work through the HOME Program. Local HOME Program Administrators are now required to coordinate with subgrantees when funding rehabilitation of income-eligible buildings. In turn, those subgrantees will be asked to work with local HOME administrators to target properties where an expanded work scope is necessary to avoid deferral of a unit due to health and safety conditions that cannot be addressed with Weatherization funds.
- The State has convened an Interagency Task Force on energy needs composed of HCR, the Department of Public Service, OTDA, NYSERDA and the Governor’s Office for Energy Finance. The Task Force is developing strategies to address energy affordability within the State and to utilize disparate funding streams in a coordinated, targeted fashion to more holistically address the energy needs of low-income communities and improve outcomes for low-income households.
- HCR will continue to operate the RePower Mitchell-Lama program to identify buildings within its housing portfolio that are high energy users and target them for WAP.

**IV.5 Policy Advisory Council Members**

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

Andrew F. L. Padian	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 2128695300 Email: <a href="mailto:apadian@communityp.com">apadian@communityp.com</a>
Andrew Stone	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 5186900494 Email: <a href="mailto:astone@nswda.org">astone@nswda.org</a>
Charles Quinn	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 8453423978 Email: <a href="mailto:cquinn@recap.org">cquinn@recap.org</a>
Crown Heights Jewish Community Council, Inc.	Type of organization: Contact Name: Avi Kamman Phone: 71877190007717 Email: <a href="mailto:avik@chjcc.org">avik@chjcc.org</a>
Daniel Reiber	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 2125689166 Email: <a href="mailto:danrieber@nmic.org">danrieber@nmic.org</a>
David Hepinstall	Type of organization: Local agency Contact Name: Phone: 2122793902

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**(Grant Number: EE0009919, State: NY, Program Year: 2023)**

Elizabeth Spira	Email: <a href="mailto:hepininstall@aeanyc.org">hepininstall@aeanyc.org</a> Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 8454525104 Email: <a href="mailto:espira@dutchesscap.org">espira@dutchesscap.org</a>
JCEO of Clinton & Franklin Counties, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Belinda Parent Wx Dir Phone: 5185616310 Email: <a href="mailto:parentbj@jceo.org">parentbj@jceo.org</a>
Margert Community Corporation	Type of organization: Local agency Contact Name: Joseph Barden Phone: 7184713724 Email: <a href="mailto:jgb@margert.org">jgb@margert.org</a>
New York State Community Action Association	Type of organization: Contact Name: Jacqueline Orr Phone: 518690049124 Email: <a href="mailto:jorr@nyscommunityaction.org">jorr@nyscommunityaction.org</a>
NYS Office of Temporary & Disability Assistance	Type of organization: Unit of State Government Contact Name: Andrew Bryk Phone: 5184863591 Email: <a href="mailto:andrew.bryk@otda.state.ny.us">andrew.bryk@otda.state.ny.us</a>
People's Equal Action and Community Effort, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Sally Ward Phone: 3154703315 Email: <a href="mailto:sward@peace-caa.org">sward@peace-caa.org</a>
Public Utility Law Project	Type of organization: Contact Name: Theresa Hotte Phone: 5184493375 Email: <a href="mailto:thotte@utilityproject.org">thotte@utilityproject.org</a>
Tina Zerbian	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 7169451041111 Email: <a href="mailto:tzerbian@ccaction.org">tzerbian@ccaction.org</a>
Wendell Rice	Type of organization: Local agency Contact Name: Phone: 7186366919 Email: <a href="mailto:wrice@restorationplaza.org">wrice@restorationplaza.org</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
04/27/2023	Notice of hearing published on HCR web site, through an email blast and in the Albany Times Union and El Diario on Tuesday, April 11th. It was held as a WebEx with 4 locations across the state where people could attend.

**IV.7 Miscellaneous**

**Miscellaneous**

**Policy Advisory Council**

Pursuant to 10 CFR Part 440.17, HCR has established a Policy Advisory Council (PAC) to assist in the development and operation of the Program and provide advice in the development of the State Plan. The PAC is broadly representative of subgrantees, energy advocates, State agencies, and other organizations that represent low-income persons in New York. PAC members are well-versed in energy and housing issues. A list of current PAC members and their affiliation is included in the Annual File.

During the program year, the PAC will meet quarterly, with agendas covering a range of issues of concern to subgrantees, low-income clients, and program partners. HCR typically provides updates on funding, program rules, coordination with other programs, and related issues at PAC meetings. When needed, additional meetings will be scheduled.

**Subgrantee Task Force**

A Subgrantee Task Force, comprised of subgrantee weatherization directors and staff, has been established to provide opportunities for subgrantees to meet with their peers and HCR staff to discuss program implementation and identify and resolve any program concerns. Typically, three Subgrantee Task Force meetings are held in each region each year. In 2023, HCR will continue to provide subgrantees opportunities for input on program operations, including (1) review of any

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proposed changes to the DRAFT 2023 Weatherization State Plan

23 State Plan, (2) to review the Policy and Procedures Manual, and (3) to review applicable Weatherization Program Notices issued by DOE where program adjustments are necessitated.

The State has pledged to continue to focus on better communication strategies to inform the subgrantee network and PAC of proposed changes in policies and to seek their input in redrawing them. In developing policies, the State seeks to include the subgrantees in a more active role: The State will provide its subgrantees critical information on funding, policy changes, and technical developments that they need for planning and budgeting.

A Steering Committee has also been established to target specific issues within the program and to make recommendations for improvements. The Committee is made up of HCR staff, representatives from the subgrantees state-wide, and the training and technical assistance partners. It meets and addresses topics on an as-needed basis.

**New York WAP Weatherization Readiness Fund (WRF) Plan**

**Overview:** New York State HCR will distribute \$1,144,810 of WRF22 and \$2,493,707 in WRF23 for the purpose of addressing necessary building repairs that prevent otherwise eligible units from being weatherized rather than being deferred. Subgrantees will be directed to target those homes that have been deferred for reasons that can be addressed with additional funds for structural and/or health and safety related repairs.

**Awarding and Distribution:** The use of funds will be limited to WAP PY 2023 and may be combined with BIL or regular formula allocation funds per the recent WPN 23-4. Subgrantees should review those units on their Deferral Lists (or those they subsequently encounter that must be deferred) for those that could be weatherized with the use of WRF. Prioritization determination for the use of WRF is as follows:

1. Availability of funds to subgrantees will be on a first come/first served basis based on subgrantee applications in PY 2023. 13 Subgrantees have already been determined to receive allocations of WRF22 funds, to be included in their PY23 formula allocations.
2. Subgrantees will submit their proposed plan for WRF use on a building-by-building basis to their Program Representatives and Regional Supervisors in PY23. At a minimum, the submission should include: the building address, number of units, housing type, date of WAP deferral, deferral reason, and a cost estimate for the WRF. HCR may also require the submission of an energy audit to help determine how WRF23 will be used to deliver a completed weatherized project. (An energy audit will be required for any completed work.)
3. Priority will be given to those homes located in disadvantaged communities as defined by NYS and aligned with the goals of the federal Justice 40 Initiative. Disadvantaged communities will include communities located within census block groups that meet the HUD 50% Area Median Income threshold that are also located in a NYS Department of Environmental Conservation Potential Environmental Justice Area, or are located within a NYS Opportunity Zone. Further priority will be given to those applicants having waited the longest for WAP and for the appropriateness of the proposed work, as determined by HCR. Priority will also be given to households with undue or excessive energy burden relative to their total household income.
4. Due to the high cost of some repairs (e.g., roof, structural, etc.) subgrantees may propose work that exceeds the WAP Cost per Unit (CPU). Average WRF CPU must not exceed \$35,000 per unit, over and above the WAP ACPU.

**Requirements and Restrictions:** Subgrantees must observe the following requirements and restrictions in the use of WRF:

1. WRF may be combined with WAP PY 2023 and BIL only in PY23.
2. WRF used must be limited to the amount over and above the 10% allowed for use on Health and Safety outside of the regular WAP CPU.
3. Average WRF CPU must not exceed \$35,000.
4. Subgrantees must submit the energy audit and work scope, including the WRF measures and repairs and their specific associated costs, upon submission of their completed WRF funded project.
5. Subgrantees must report the leveraged funds expended for each building or unit.
6. Building or units receiving WRF must result in a DOE completion for PY 2023.
7. Buildings receiving WRF must be made electrification ready, meaning all building envelope measures are repaired and upgraded to allow the home to be electric ready for future full electrification upgrade.

**Tracking and Monitoring:** HCR will track and monitor the WRF as required as follows:

1. Subgrantees will be required to report/submit: the building address, housing type, year built, number of units, date of WAP deferral, energy audit, list of specific measures/repairs, and the associated costs.
2. Monitoring will be consistent with HCR's State Plan. Every unit must receive a successful Quality Control Inspection to be considered completed
3. HCR will track and report the units receiving WRF, including: the building addresses, housing types, year structures were built, number of units, date of WAP applications, list of WRF measures/repairs and their costs, and leveraged funds expended for each building or unit.
4. Full report on WRF will be submitted within 3 months of the closing of PY 2023.

**Public Hearing for State Plan**

Pursuant to 10 CFR Part 440.14 (1), HCR is following a public process to receive input on the proposed State Plan. A public hearing on the 2023 State Plan was held on April 26, 2023, with public notice provided 10 days prior to the hearing date. Due to the pandemic, the hearing was conducted by WebEx video

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conference to enable speakers to present testimony. Information on accessing the meeting was available on the WAP website at <https://hcr.ny.gov/weatherization-providers>. Copies of the hearing notice were widely distributed and made available on the HCR web site at <https://hcr.ny.gov/weatherization-providers>.

Copies of the proposed State Plan were emailed to all current subgrantees and to other interested parties. Copies also could be obtained directly by writing to: Homes and Community Renewal, Weatherization Assistance Program, 38-40 State Street, Albany, New York 12207. The draft Plan is available on the HCR web site at <https://hcr.ny.gov/weatherization-providers>. Due to the pandemic, there was no availability to pick up copies at our offices.

Comments on the Public Hearing were received and uploaded.

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**Subgrantee Task Force**

A Subgrantee Task Force, comprised of subgrantee weatherization directors and staff, has been established to provide opportunities for subgrantees to meet with their peers and HCR staff to discuss program implementation and identify and resolve any program concerns. Typically, three Subgrantee Task Force meetings are held in each region each year. In 2023 HCR will continue to provide subgrantees opportunities for input on program operations, including review of any proposed changes to the State Plan and the Policy and Procedures Manual, and to propose actions in response to the results of the American Customer Satisfaction Index (ACSI) survey of subgrantees that was conducted on DOE's behalf in 2019.

New York State WAP is addressing issues raised in the 2019 ACSI. Since one of the most widespread issues raised by the subgrantees was inadequate communication from the State to the subgrantees, the State has pledged to better inform the subgrantee network and PAC of proposed changes in policies and to seek their input in redrawing them. In developing policies, the State seeks to include the subgrantees in a more active role: for example, the PAC and subgrantees were given the opportunities to contribute to the development of the State Plan before the draft Plan was formed. The State has also begun sending policy directives that it receives from the DOE directly to the subgrantees. The State will more promptly provide its subgrantees critical information on funding, policy changes, and technical developments that they need for planning and budgeting.

A Steering Committee has also been established to target specific issues within the program and to make recommendations for improvements. The Committee is made up of representatives from the subgrantees state-wide and the training and technical assistance partners. It meets and addresses topics on an as-needed basis.

Recipient Business Officer: Rebecca Koepnick, [rebecca.koepnick@nyshcr.org](mailto:rebecca.koepnick@nyshcr.org), 212-872-0679

Recipient Principle Investigator: Samantha Pearce, [samantha.pearce@hcr.ny.gov](mailto:samantha.pearce@hcr.ny.gov), 212-872-0496

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This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

Provide a description of the definition of income used to determine eligibility

Income definition

HCR has developed a rigorous process to ensure that assisted units meet the eligibility requirements of 10 CFR 440.22(a), with respect to income eligibility. These procedures are described in detail in Sections 3.05.01-06 of the NYS Weatherization Assistance Program Policy and Procedures Manual (PPM). Briefly, subgrantees are required to collect third-party documentation from each assisted household to confirm income and must keep documentation on file to support eligibility determinations, unless categorical eligibility is permissible, as defined by DOE. Some households are deemed categorically eligible based on documentation that they receive TANF, HEAP, or certain other forms of government assistance.

Income eligibility is verified using one of three methods, depending upon the type of building or whether the household is claiming categorical eligibility:

1. households that reside in buildings that have received assistance from certain HUD programs are considered eligible for Program assistance without additional documentation (pursuant to DOE Notice WPN 22-5);
2. households residing in any other building that claim categorical eligibility by participation in another assistance program that has eligibility requirements that are as restrictive as those of the Program must provide documentation from the administrator of the other program establishing participation; or,
3. all other households must provide third-party documentation of income (i.e., pay stubs, statements from income providers) to support income claimed.

Describe what household eligibility basis will be used in the Program

Eligibility basis

HCR has adopted the income eligibility guidelines used in the State's HEAP Program as the standard for the Program for households with six or fewer persons. This limit – 60% of State median income – is higher in New York than the 200% of poverty option

for households with fewer than seven persons, provides opportunity for participation by more households in the State and facilitates coordination with HEAP. For families of 7 or more persons, the 200% of poverty level is higher than 60% of State median income, and HCR sets the eligibility threshold for those households at the higher (200% of poverty) level. This threshold has been selected in accordance with Federal HEAP rules (Public Law 9735, Sec. 2605(b)(2)(B) and with 10 CFR 440.22(3)). Under these criteria, more than 3.5 million persons in New York State who reside in 2.1 million households are eligible for program services.

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

Qualified aliens

HCR's weatherization application form requires applicants to affirm that all members of the household are citizens or qualified aliens entitled to receive federal government assistance.

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

Procedures to determine that units weatherized have eligibility documentation

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Eligibility documentation

HCR requires that both household income eligibility and building eligibility are established before any work is done on a building. Building eligibility is confirmed prior to the start of an energy audit. Building owners must provide documentation to confirm ownership of the building to be assisted (such as tax payment receipts, copies of deed, or certain other forms). Procedures for confirming eligibility in buildings with rental units and in certain other types of buildings are described below. More detail on building eligibility can be found in Section 3 of the PPM.

Historic Preservation

HCR has entered into a programmatic agreement with NYSERDA and the New York State Office of Parks, Recreation and Historic Preservation to facilitate historic reviews of projects assisted with Program funds. The agreement covers the 2023 Program Year and will remain in effect until December 31, 2030.

Describe Reweathering compliance

Re-weatherization

WAP Memorandum 075, issued January 8, 2021, provided the authority for re- weatherization of homes once 15 years have passed since the completion of prior federally financed weatherization. Homes designated for re-weatherization must still meet eligibility requirements and be subject to energy auditing to determine the appropriateness of weatherization work. Subgrantees and HCR will track homes previously weatherized.

In cases where a previously assisted unit weatherized less than 15 years ago has been damaged by fire, flood or other natural disaster, assistance can be provided with prior approval from HCR. Generally, assistance will only be provided to pay for damage not covered by insurance. HCR rules for re-weatherization can be found in Section 6.05 of the PPM.

Describe what structures are eligible for weatherization

Eligible structures

Program assistance is provided to all types of residential structures, including eligible single- and multi-family buildings, manufactured housing (mobile homes), group homes, homeless shelters, temporary housing facilities designed to transition persons with special needs into permanent housing, and mixed-use buildings that contain eligible residential units. Building eligibility requirements are detailed in sections three and four of the PPM. Only those structures that can be legally occupied as housing under New York State law, meet all other eligibility requirements and are in such condition that weatherization measures can be installed in a safe and effective manner are eligible for assistance.

HCR permits subgrantees to assist shelters and group homes; in those buildings, the cost per unit is calculated on a square-footage or per-story basis. In the case of eligible dwelling units which meet the definition of "shelter," dwelling units will be calculated based upon either (a) each 800 square feet of floor space; or (b) each story of the building which is used as a living area.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental units and multifamily buildings

Most low-income people in New York State live in rental housing. While much of the rental housing stock is sound, and HCR has made considerable investment in decent, affordable housing, a large percentage of the units occupied by eligible households have significant need for energy efficiency investment. Rental housing provides significant opportunity to save energy, but assisting rental housing presents unique challenges.

HCR has extensive experience in providing weatherization assistance to rental buildings, including older masonry-construction, centrally

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heated multifamily buildings of the type common in much of New York City. Procedures that New York State developed for the Weatherization Program have helped form current DOE policy on assisting multifamily and other rental properties.

HCR requires subgrantees to obtain applications from each tenant in a rental project that has applied for Program assistance before investing any funds in the project (except for certain federally assisted projects that are determined eligible following the procedures outlined in DOE Notice WPN 22-5). Subgrantees may only invest Program funds in rental buildings containing five or more units after they have established that 66% or more of the dwelling units in the building are occupied by eligible households. In rental projects where the energy audit indicates that significant energy savings can be expected to result from Program assistance, and in buildings containing two, three or four units, at least 50% of the dwelling units must be occupied by eligible households.

For buildings that are determined eligible pursuant to WPN 22-5, housing owned and operated by HUD Public Housing Agencies are to be considered 100% categorically income eligible. For any multifamily building, the subgrantee may only count vacant units towards the 50% or 66% threshold when the building has been assisted by a Federal, State or local government program for rehabilitating the building or making similar improvements to the building and the units will become eligible dwelling units within 180 days following completion of the project.

HCR procedures also require that:

- Written permission of the building owner is received before any work commences;
- Benefits of Program assistance primarily accrue to the low-income tenants residing in the rental units;
- Qualified households in assisted buildings are not subjected to rent increases (unless those increases are demonstrable related to matters other than the weatherization work that was installed);
- Tenants and owners are notified in writing of their rights and the procedures tenants may follow to complain or appeal should improper rent increases occur;
- No undue or excessive enhancement of the value of the assisted building results from installation of weatherization materials with Program funds;
- Owners of assisted rental buildings agree in writing to restrictions on their use of the building after Program funds are invested; and,
- Owners of assisted rental buildings participate in the financing of weatherization activities, with certain exceptions, as described below.

In accordance with Federal rules and guidance intended to limit undue or excessive enhancement of the value of multifamily rental units resulting from investment of Program funds, HCR requires most owners of multifamily rental property to contribute to the cost of the weatherization work scope as a condition of receiving assistance.

Generally, multifamily building owners must provide 25% of the total cost of the work to be done to meet Program standards, as follows:

- For buildings that do not meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law and which have, two, three or four units, the owner may make an investment of no less than 25% of the estimated cost of completing the work scope. In cases where the owner qualifies as income eligible for WAP and the owner-occupied unit is the owner's primary residence, the owner investment will be waived.
- For multifamily buildings that do **not** meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law and which have five or more units, the owner must make an investment of no less than 25% of the estimated cost of completing the work scope. In cases where providing this level of investment will provide a hardship, or where a rental property is known to be in financial distress, HCR may permit the subgrantee to reduce or waive the owner investment requirement, with prior approval by the HCR regional supervisor.
- For multifamily buildings that **meet** the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law, a reduced owner investment of 15% of the estimated cost of completing the work scope will be allowed to help maintain the supply of affordable housing in the State. HCR provides training, technical assistance and other support to maximize inclusion of assisted rental housing in the Program.

HCR requires that subgrantees enter into a written agreement with owners of rental buildings that will receive Program assistance, using a form provided by HCR, before any funds are invested in a project. The agreement names tenants as third-party

beneficiaries of the agreement, to establish certain rights. Tenants are provided with a Tenant Synopsis of the Owner Agreement form that explains these rights and the enforcement procedures. Naming the tenant as a third-party beneficiary provides the tenant with recourse in the legal system if a building owner violates the terms of the agreement. In practice, a letter reminding the owner of the terms of the agreement with the subgrantee is generally sufficient to resolve an adverse situation in favor of the tenant. This process reduces the need for monitoring by the State without placing undue burden on subgrantees or owners.

Subgrantees are monitored to ensure that low-income renters – particularly those living in smaller, privately-owned buildings – are provided with the same opportunity to access Program services as all other households. Additional information on subgrantee monitoring is provided in Section 5.8.3, below. More detail on rental housing procedures is included in Sections 3 and 4 of the PPM.

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Describe the deferral Process

Deferral process

HCR prohibits subgrantees from investing funds in any building where legal, financial, structural or safety impediments exist that would compromise eligibility or place occupants or workers in an unsafe or unhealthful situation. Section 6.01 of the PPM (“When Not to Weatherize”) lists common situations that may warrant deferral and provides subgrantees with guidance on how to handle those situations. Issues related to health concerns caused by the pandemic are also considerations for deferral.

When a subgrantee determines that assistance must be deferred for health or safety reasons, they must issue the HCR Health and Safety Notice and obtain signatures from the owner and occupant on the form, The subgrantee is also expected to inform occupants and owners of any resources that may be available to resolve the problem.

In cases where assistance to a unit is deferred for other reasons (such as a pending sale) subgrantees are required to notify the owner and any affected tenants in writing and inform them that the application will be kept active for a specified period or until the issue is resolved, whichever comes first.

For program years 2022 and 2023, DOE has allocated Weatherization Readiness Funds (WRF) to the State for the purpose of completing structural and health and safety repairs that would otherwise cause a unit eligible for WAP or BIL to be deferred. Participating subgrantees who identified deferred units that could benefit from WRF and receive weatherization are granted funds specific to need and as judged by HCR. Completed units that utilized WRF are tracked and reported separately.

**V.1.3 Definition of Children**

Definition of children (below age): 17

**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.

Assistance is made available to all low-income residents of the State without regard to tribal organization status, to the extent that funding is available. Additional funds are allocated to counties with large Native American reservations.

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

**Areas to be Served**

All areas of the State will be served. HCR allocates WAP funding for each county in the State using a formula that considers climate and share of low-income households. Funding is also reserved to provide a minimum allocation to a service provider to ensure service to each county where the formula does not otherwise generate sufficient funding to feasibly operate a program.

HCR designates a subgrantee to provide weatherization services in each county in the State. In urban areas, subgrantee service areas are typically a portion of a county, while in rural areas subgrantee service areas often cover one or more entire counties. Each community in the State is served by one, and only one subgrantee.

Per 10 CFR 440.15, subgrantees are selected on the basis of public comment received during a public hearing conducted pursuant to § 440.14(a) and other appropriate findings regarding experience and performance in weatherization or housing renovation activities; assisting low-income persons in the area to be served; and capacity to undertake a timely and effective weatherization program. Preference is given to any CAA or other public or nonprofit entity which has administered, or is currently administering, an effective weatherization or housing renovation program under this part or under title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, past or current success in achieving weatherization goals, work quality, capacity to perform the work to standards and general knowledge, skills and abilities as they relate to the WAP.



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Housing in New York is generally older than elsewhere in the nation. According to the US Census, more than 5.6 million housing units in New York were built before 1970. That's nearly 70% of the State's total housing stock. Nationally, just 41% of the housing stock was built before 1970. This means that most housing in the state was built at a time when energy costs were low and modern energy-efficiency construction methods were not used.

New York's households are also more likely to live in rental housing than in any other state. Census data shows that 45.5% of the occupied housing units in the State are rental. Most households in New York that are eligible for weatherization assistance live in rental housing. While 20% of the State's owner households have annual incomes less than \$35,000, more than 50% of the State's renter households have annual incomes less than \$35,000.

Households with incomes below the poverty level are especially likely to live in rental housing and to live in older units. While just 5% of owner households have incomes below the federally established poverty level, fully 24% of renter households have incomes at this level, and 77% of those households live in housing built before 1970.

Census data also show that utility-supplied gas is the most used fuel. About 57% of owner households and 54% of renter households heat with utility gas. About 28% of households in the state heat their homes with oil, but households in rental units are far more likely to heat with expensive electricity than owner households. More than 70% of all units that heat with electric are rental units; these units are home to more than 510,000 households. Our experience suggests that electrically heated rental units are often located in multifamily housing built in the 1960s and 1970s. Given the high costs of electricity in New York, and the likelihood that many of those units were built using inferior energy conservation techniques, this is a significant concern. However, recent improvements in electric heating technology coupled with utility and government incentives are making electric heating more feasible within WAP.

There are regional differences in utility usage. Generally, Western and Central New York are more reliant on utility gas, and the Eastern parts of the State are more likely to use oil. For example, in the Buffalo Metropolitan Statistical Area (MSA), 89% of all housing units heat with utility-supplied gas, but in the Albany MSA just 60% heat with gas. In New York City, which has a predominance of large multi-family buildings, about 39% of all units are heated with oil.

These regional differences are not consistent by tenure. While owners in Albany and Buffalo are about as likely to heat with gas as renters, in New York and Syracuse renters are much less likely to use gas, which means higher heating costs. In New York, more heat with oil, but in Syracuse more than 29% of all rental units are heated with electricity (electric resistance). In non-metropolitan areas, where more than 70% of all housing units are owner-occupied, oil and gas both account for about one-third of the fuel used in all units, and electrical resistance heated units are more common, especially among renter households.

This data, when considered together with New York State's harsh climate and high energy costs, show that the needs for energy efficiency are different for rental and owner housing, and vary according to location. Because of this diversity, New York has developed procedures to target assistance to those most in need, using methodologies that are best suited to conditions within the State.

### V.3 Priorities

Priority for weatherization assistance is given to households with children, elderly persons and persons with disabilities. Priority is also given to applicants for assistance that pay more than 6% of their income for utilities and to households that receive assistance through the State's Home Energy Assistance Program (HEAP). For the purposes of the Program, these applicants are considered High Energy Burden households.

HCR has established a referral process to facilitate assistance to households that are clients of local offices for the aging and county HEAP providers (typically departments of social services). HCR will continue to encourage subgrantees to prioritize assistance to properties where other State or Federal housing resources can be leveraged, where occupants of those properties also meet one or more of the other priorities listed above.

### V.4 Climatic Conditions

#### **Climactic Conditions**

The climate of New York varies from temperate coastal to cold mountainous conditions. Climate is a key element in the formula used for allocation of program funds. Climate severity is measured in degree days, which are an indicator of how much fuel will be necessary on any given day to maintain comfortable conditions in a home. Data on degree days is compiled on an annual basis by the National Climate Data Center. The allocation formula (see Section 2.1) uses 30-year averages for annual degree days to indicate the relative severity of

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climate in New York locations and its impact on low-income housing affordability.

**Average Heating and Cooling Degree Days 1981-2010**

<b>Location</b>	<b>Heating Degree Days</b>	<b>Cooling Degree Days**</b>
<b>Albany</b>	<b>5503</b>	<b>206</b>
<b>Buffalo</b>	<b>5606</b>	<b>202</b>
<b>New York City</b>	<b>4118</b>	<b>604</b>
<b>Massena</b>	<b>6890</b>	<b>132</b>
<b>Syracuse</b>	<b>5743</b>	<b>195</b>

Source: National Oceanic and Atmospheric Administration

\*\* Cooling degree days reflect a national average from 1971-2000

Each DOE-approved energy audit that HCR uses considers climactic variances within the State to determine cost-effectiveness of measures proposed for individual buildings. Subgrantees analyze buildings using approved energy auditing software that includes region-specific data on climate. These data files are then considered in calculation of the savings-to-investment ratio for each measure.

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

**V.5.1 Technical Guides and Materials**

**Type of Weatherization Work to be Done**

HCR permits subgrantees to conduct activities that are authorized by Program rules and guidance. Any material listed in Appendix A of 10 CFR Part 440 may be installed, provided the measure has been determined to be cost-effective pursuant to the protocols set forth by DOE, is based on an analysis of the building (see Section V.5.2, below) and can be installed in a safe manner without compromising the health or well-being of occupants of the dwelling unit. Any materials used must meet the specifications listed in 10 CFR Part 440, Appendix A, or otherwise be approved by DOE for use in the Program.

Generally, work conducted in assisted buildings includes air sealing, insulation, heating system repairs, window or furnace replacement, electric base load reduction measures, and work items that mitigate energy-related health and safety hazards. Other than health and safety work and work scopes using the Social Cost of Carbon (SCC) formula (WPN 22-10), only those measures with a savings-to-investment ratio of 1.0 or greater can be installed by subgrantees. In other words, the cost of installing an energy conservation measure in a building must not exceed the savings that can be expected during the expected life of the installed work.

HCR permits replacement of incandescent lighting with LED bulbs or fixtures as electric base load reduction measures, pursuant to approval received from DOE in 2015. Their use and implementation will follow established program protocols for lighting, including the requirement of meeting a savings-to-investment ratio (SIR) of 1.0 based upon an established minimum run time.

HCR encourages use of renewable energy systems, alternative energy sources, on-site decarbonization measures, and other “green” practices in its housing and energy programs. HCR WAP will consider installation of renewable energy systems and green building materials on a case-by-case basis, or as part of a pilot program when proposed by subgrantees. Installation of renewables will only be permitted when consistent with DOE guidance and justified by an SIR of 1.0 or greater, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A, or otherwise be approved by DOE for use in the program.

Subgrantees proposing installation of renewable energy systems will be required to obtain prior approval from the appropriate HCR regional supervisor. HCR will then obtain prior approval from DOE before authorizing any sub-grantee to use WAP funds for such measures.

All weatherization activities not included in the list of Categorical Exclusion activities in Section 2.6 of WPN 17-1 will require an Environmental Questionnaire (EQ-1) submission for review.

Policy and Procedures Manual:

The PPM sets forth specific guidelines that subgrantees must follow in administering the program. The PPM is an attachment to the written agreement between HCR and the subgrantee and subgrantees are bound by signing the agreement to comply with the PPM. Subgrantees that don't comply can be found to be in default of the agreement, and risk losing funding.

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The PPM covers administrative procedures; building and household eligibility; building analysis (energy audit) procedures, including health and safety protocols; deferral guidelines; reporting and payment procedures; and procurement and fiscal requirements. Section 5 of the PPM also provides specific technical guidance to subgrantees on work standards and related protocols, including guidance on multifamily work scope development, building assessment and health and safety issues.

The PPM is available on the HCR web site through the following link: <https://hcr.ny.gov/weatherization-providers#provider-information>. The PPM is being revised and updated for the 2023 Program Year.

**Weatherization Field Guide:**

HCR has also issued the New York State Weatherization Field Guide for use by subgrantee crews and auditors. This field guide, which incorporates information from several different standards including the Standard Work Specifications for Home Energy Upgrades (SWS), provides on-site guidance to subgrantees in the installation of measures and other technical aspects of the program.

The Weatherization Field Guides were approved by DOE 9/3/2021. Subgrantee agreements and vendor contracts contain language which requires them to comply with the SWS specifications for work quality outlined in WPN 22-4, Section 1. The Field Guide is published through an agreement with Saturn Resource Management. A copyright protected version of the New York State Weatherization Field Guide is available to all NYS WAP subgrantees through the HCR Weatherization website: <https://hcr.ny.gov/weatherization>.

All subgrantees have been provided access to the Field Guide and are familiar with the specifications, objectives and desired outcomes outlined in the SWS for single family, multifamily and manufactured housing.

HCR will continue to provide subgrantees comprehensive field standards and training (see Section V.8.4, below) outlining requirements for work scope development and work quality that will meet or exceed the minimum standards found in the SWS. Subgrantees will also be provided with any revised technical requirements for building assessment (energy audits), installation of energy efficiency and health and safety measures and procedures for conducting final inspections in support of the quality work plan. These requirements will be referenced as a part of the agreement with each subgrantee to provide a mechanism for compliance.

**Subcontractor Agreements:**

Subgrantee agreements and vendor contracts contain language which requires them to comply with the SWS specifications for work quality outlined in WPN 22-4, Section 1. Section 4 of the PPM requires Subgrantees that use subcontractors to complete work on assisted buildings to follow the procurement procedures contained in Section 8 of this manual and to execute an agreement with each subcontractor for the specific work to be completed. Subgrantees that subcontract for work performed with WAP funds must use the Subcontractor Agreement (Form #33). This form binds the parties to follow HCR rules in completing WAP-funded work and provides for certain rights and remedies in the event of default or non-performance by a subcontractor. Subgrantees are responsible for ensuring that the provisions of the Subcontractor Agreement are enforced. Subgrantees may not enter into side agreements with subcontractors for work on a project where WAP funds are invested. Contractors acknowledge the expectations for work quality by signing Form #33.

**Field guide types approval dates**

Single-Family: 9/3/2021
Manufactured Housing: 9/3/2021
Multi-Family: 9/3/2021

**V.5.2 Energy Audit Procedures**

**Audit Procedures and Dates Most Recently Approved by DOE**

Audit Procedure: Single-Family
Audit Name: TIPS (New York)
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: TIPS (New York)
Approval Date:

Audit Procedure: Multi-Family
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Audit Name: TREAT
Approval Date: 5/18/2023

Comments

**Energy Audit Procedures**

Weatherization subgrantees in New York can use the **Targeted Investment Protocol System (TIPS)** energy audit to analyze building energy usage and set priorities for weatherization work in all one-to-four-unit buildings including manufactured or mobile homes, as well as for auditing individually heated units in multi-family buildings not exceeding 25 units in size. The **Energy Audit Using the Queens Information Package (EA-QUIP)** may be used for analysis of multi-family buildings.

New York also has DOE approval for use of the **Targeted Residential Energy Analysis Tools (TREAT)** Energy Audit for multi-family buildings. The TREAT software can be used in coordination with NYSERDA energy efficiency projects. Subgrantees doing weatherization work in multi-family buildings participating in NYSERDA programs, or that have had TREAT audits conducted for other programs, can rely on TREAT for Weatherization to avoid the need for duplicate audits. .

HCR subgrantees are expected to maintain in-house capacity to conduct building analysis for one-to-four-unit buildings and are encouraged to develop capacity to conduct multifamily audits on certain types of buildings with fewer than 75 units. HCR has implemented a quality control and review process for subgrantees that conduct their own multifamily audits. Additional training should be provided for Subgrantees looking to perform fuel-switching audits, pending DOE approval for NYS to act as delegated authority on fuel switching audit/project reviews.

Grantees must submit/resubmit energy audit processes to DOE for approval every 5 years. HCR's energy audit tools were due for DOE reapproval in 2022 and HCR is working closely with DOE for reapproval of its audit processes and final determination by DOE is pending.

HCR encourages the use of renewable energy systems in weatherization projects as permitted by DOE rules. Particularly in multifamily projects, there are significant opportunities for energy savings and cost reduction that result from installation of systems such as solar thermal technology. The TREAT and EA-QUIP energy audit platforms provide the ability to determine cost-effectiveness of renewable energy systems that may be considered in a weatherization project. HCR will comply with the provisions of DOE notices WPN 20-1 and WPN 16-8 and with sections 10 CFR 440.18 and 440.21c concerning use of renewables in weatherization projects.

Contingent upon DOE approval of New York State as a fuel-switching authority, fuel switching is allowable when the site-specific energy audit demonstrates the cost- effectiveness of the fuel switch over the life of the measure as indicated by the SIR. If a heat pump or other combined heating-and-cooling system is to replace a heating- only (or cooling-only) system, no savings may be attributed to the previously non-

existent cooling (or heating) system, but all of the costs of running the system throughout the year must be included in the audit.

The ARPA pilot will utilize its own priority list for work scopes that will combine the goals of the pilot with sound weatherization science. Work scopes will be reviewed by HCR for appropriateness.

**V.5.3 Final Inspection**

**Final Inspections**

All weatherization projects completed by subgrantees in New York must pass a quality control (QC) inspection performed by the subgrantee's designated QC inspector before being reported to HCR as completed. Payment for a completed unit will only be made for units that meet all program requirements (see sections 2.17, 7.02 and 7.06 of the PPM). HCR field staff periodically visit subgrantees and inspect a sample of dwelling units to ensure that the units reported have been completed in accordance with all State and federal program requirements. HCR QC inspection of subgrantees will be at least 5% of completed units, and at least 10 % for subgrantees where the Energy Auditor and QC inspector are the same person. HCR uses its database to track the percentage of completed units at each subgrantee requiring QC inspection, distinguishing where the requirement is 5% and 10%. More detail on the monitoring process can be found in Section V8.3. Each completed unit is inspected per DOE Quality Work Plan requirements by the subgrantee before HCR

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reports the unit as complete to DOE. The following procedures will support HCR compliance with DOE Quality Work Plan requirements.

During Program Year 2023 every DOE WAP unit reported as a completed unit will receive and pass a QC inspection, performed by a certified QC inspector, ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440 and NYS WAP requirements. Each client file will have a form(s), signed by the QC inspector, certifying that the unit passed a QC inspection, meeting the required standards for NYS WAP. HCR will confirm subgrantee compliance with the QC requirement during routine monitoring visits and final quality assurance inspections of a sample of completed projects.

The final quality assurance project inspection includes the following:

- verification of program eligibility and required project file documentation
- review of the audit and work scope to determine that the work specified was eligible, effective, installed per SIR priority and that any changes to work orders were approved in advance and properly documented;
- photographs of initial conditions and completed work;
- verification of the quantity of materials installed;
- verification that installation standards and work quality is acceptable and meets the QC inspection standard;
- a blower door test to verify final air flow, in units where the test can be conducted;
- verification that required health and safety tests were conducted accurately and that appropriate mitigation measures were performed as necessary;
  
- review for client signatures accepting completion of work;
  
  
- review for program documentation notifying owners and occupants of any unsafe or potentially unsafe conditions and proof of occupants having received written material on lead and radon concerns; and,
- review of any additional documentation necessary to support the outcome of the weatherization project.

Each subgrantee has certified quality control inspectors on staff, but turnover can be high in these positions, with several instances of staff leaving a subgrantee after obtaining QC certification. In cases where a subgrantee temporarily does not have a certified QC inspector in place, the subgrantee must demonstrate to HCR that it has arranged to obtain the services of a certified inspector on a temporary basis, typically by contracting with a nearby subgrantee, and must provide HCR with a plan to fill the vacancy. In any case, HCR does not allow a subgrantee to report a unit as complete without a QC inspection and will ultimately disallow costs for any expenditures on units that do not meet the QC requirement. Failure by the subgrantees to correct deficiencies found in QC monitoring may warrant increased training and technical assistance, increased levels of monitoring, or in the most severe cases a formal warning notice that may lead to termination.

HCR permits smaller subgrantees that do not have the resources to hire a separate QC inspector to assign this function to an auditor or other staff person that obtains the required certifications. HCR increases monitoring frequency where needed, but for all subgrantees HCR inspects a minimum of 5% of completed units. See section V.8.3 for more detail on monitoring policies, including actions taken when a QC fails to adequately inspect completed work.

## V.6 Weatherization Analysis of Effectiveness

### Analysis of Effectiveness

HCR conducts an analysis of the effectiveness of each subgrantee's program annually, per 10 CFR 440.14(c)(6)(1) and maintains documentation on this analysis on file for review. This analysis is based on frequent on-site monitoring, regular desk audits and management reviews as well as other available information. Subgrantee productivity is measured by reviewing subgrantee production (as reported in the Weatherization Assistance Program Database) against contract production schedules each month when subgrantees

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request payment. HCR's Field Operations unit also conducts comparative analyses to ensure that all subgrantees are administering the Program in an optimal manner and to set priorities for training and technical assistance. Subgrantees with deficiencies are required to submit corrective action plans to resolve impediments to effectiveness.

Subgrantees are also monitored several times during the program year, and their progress in resolving deficiencies and in implementing new procedures and recent training is assessed as part of the monitoring process. The field monitoring instruments themselves allow the reviewer to identify reoccurring problems and problem areas measured in the aggregate. Progress in resolving management findings and unresolved issues from prior annual evaluations is also assessed.

In addition to regular monitoring, HCR conducts a comprehensive annual evaluation of each subgrantee. The evaluation covers both the Program and Fiscal components of the agencies' programs and includes the following:

1. Program Administration
2. Outreach and Intake
3. Energy Auditing and Work Scope Development
4. Crew Operations/Subcontractor Management
5. Post Inspection
6. Database and Reporting
7. Leveraging and Coordination
8. Production and Quality
9. Fiscal Record Keeping
10. Financial Stability
11. Program Compliance
12. Procurement

The evaluation analyzes the program and fiscal monitoring reports documented during the year and various production metrics. The completed evaluation is shared with each subgrantee, and each area rated as "non-compliance" or "does not meet NYS WAP program standard" requires the subgrantee to submit a written corrective action plan, the implementation and progress of which is reviewed and monitored during the following year for effectiveness. Each evaluation area is also reviewed by the regional supervisors, program monitors and fiscal monitors for the identification of problem areas and potential solutions. The evaluations are reviewed by the program management staff to determine the strength of subgrantee performance and any service territories whose needs are not being adequately met.

## V.7 Health and Safety

### Health and Safety

The primary goal of the Weatherization Assistance Program is energy conservation. However, installing energy conservation measures sometimes requires subgrantees to address health and safety problems that may exist in client's homes. If not done correctly, installing certain measures can also create or worsen other health and safety conditions.

Many of the buildings that are weatherized in New York have serious deficiencies that can affect the health and safety of both occupants of assisted units and staff performing weatherization work. Health and safety work is only done in units where energy efficiency measures are also being installed. Section 5 of the PPM includes guidance on health and safety protocols. Specific information on HCR health and safety protocols is included in the HCR Weatherization Health and Safety Plan, which is attached as Appendix D that addresses the below sections under Health and Safety. In summary:

1. Health and Safety budgets will not exceed 15%.
2. Minor Repair will be defined as not more than 5% of the budget cost
3. Limited Repair will be defined as not more than 7% of the budget cost<sup>4</sup>. Major Repair will be defined as 8% or greater of the budget cost.

In accordance with WPN 19-5 NYS will utilize alternative funds for these measures when possible. NYS will follow DOE guidance from 22-7 to test and deal with radon appropriately.

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**V.8 Program Management**

**V.8.1 Overview and Organization**

**Overview and Organization**

The Program is managed in New York by NYS Homes and Community Renewal (HCR). The Commissioner of Housing and Community Renewal also serves as Chief Executive Officer of HCR and is appointed by the Governor. Within HCR, the Program is in the Office of Housing Preservation (OHP). OHP is headed by a Senior Vice President who reports to the Commissioner. In addition to the Weatherization program, OHP administers the Federal Housing Choice Voucher program and provides supervision of the State's portfolios of public housing and privately-owned assisted housing. Other offices within HCR include Finance and Development, which primarily administers multifamily housing finance programs such as the Housing Trust Fund, Low-income Housing (tax) Credit and Mortgage Revenue Bond programs, and the Office of Community Renewal, which administers the Community Development Block Grant Program, NYS HOME Program, NY Main Street program and other locally-administered housing and community development programs.

The Assistant Vice President of Weatherization Services reports to the Vice President of Sustainability and has day-to-day responsibility for the Weatherization Assistance Program. Three component units within the Weatherization Services Unit provide Program staffing: Program Management, which includes central office operations such as contract and payment processing, reporting, budgeting and coordination with other State offices and other units within HCR; Fiscal Compliance, which includes staff that monitors the fiscal operations of subgrantees; and Field Operations, which includes both the field (program) monitoring staff and the Training and Technical Assistance unit.

HCR coordinates closely with other State agencies that administer energy assistance programs. These include the New York State Energy Research and Development Authority, which administers the State Energy Program and several energy efficiency programs, the Office for Temporary and Disability Assistance, which administers the Low-Income Home Energy Assistance Program, the Department of State, which administers the Community Services Block Grant program, the Public Service Commission, the Department of Labor, the State Office for the Aging and others.

A full description of roles and responsibilities of HCR staff involved in administration of the Program, including information on coordination with other State agencies, can be found in the Weatherization Assistance Program Policy and Procedures Manual.

**V.8.2 Administrative Expenditure Limits**

**Administrative Expenditure Limits**

HCR will retain a portion of available funds to cover staff and non-personal service costs, not to exceed 7.5% of the allocation.

Each subgrantee will be allowed to use up to 7.5% percent of their total WAP allocation for administrative costs.

While 10 CFR 440.18e provides a State may in its annual plan provide for recipients of grants of less than \$350,000 to use up to an additional 5 percent of such grants for administration if the State has determined that such recipient requires such additional amount to implement effectively the administrative requirements established by DOE pursuant to this part.

**V.8.3 Monitoring Activities**

**Monitoring Activities**

HCR combines rigorous field monitoring with an extensive training and technical assistance program to identify areas to improve work quality and the delivery of

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program services as well as to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

A minimum of 5% of units completed by each subgrantee are inspected by HCR QA monitors. For subgrantees that use energy auditors to perform QCI inspections on buildings they have audited, HCR will comply with DOE minimum monitoring requirements and inspect at least 10% of completed units. When deficiencies are found at a subgrantee, a higher percentage of units may be inspected.

Staff closely monitors compliance with Program policies and procedures and in accordance with WPN 20-4. Fiscal Compliance unit staff (senior accountants) perform periodic on-site monitoring and desk audits, including reviews of financial statements, to assure compliance with all financial rules. Field Operations unit staff review subgrantee production status throughout the year, conduct visits to subgrantee offices to review files and visit assisted units to inspect in-progress and completed work. This information aids in early identification of subgrantee problems and ensures quality work and compliance with Program standards.

The field monitoring process consists of monthly reporting by subgrantees, on-site visits by program and fiscal staff to subgrantee offices and to assisted units, and desk audits, where subgrantee performance reports and other information is reviewed. At the end of the program year an annual evaluation of each subgrantee is conducted that reviews compliance with all program rules, energy audit procedures, crew operations, client interaction, data collection and reporting and fiscal compliance.

Subgrantees found to have deficiencies in program operations are required to prepare a corrective action plan for areas needing improvement. HCR has developed an automated monitoring process to more carefully track monitoring results. This process has improved HCR's annual monitoring function, and will provide data on subgrantee performance, work quality and compliance that HCR can use in future funding decisions, and to improve program effectiveness in general. For more information on HCR subgrantee monitoring processes, see Sections 2.17 – 2.20 of the PPM.

When HCR monitoring finds that a unit reported as complete was not properly inspected, current standards were not followed, or the unit otherwise contains deficiencies, the unit is not certified, which means that the subgrantee will not receive payment for the unit until the deficiency has been addressed. When a unit is not certified the HCR field representative notifies the subgrantee in a field visit report, documents the conditions that caused the unit to fail, and typically supports that finding with photographs that are included in the field visit report.

Since individual inspectors are employees or sub-contractors of the subgrantee, and HCR contracts with the subgrantee, not the individual, our written correspondence on these matters is directed to the responsible party at the subgrantee. It is the subgrantee's organizational responsibility to ensure that individuals perform in a manner that will result in compliance with HCR rules by the subgrantee. This is addressed in sections 2.17, 7.02 and 7.06 of the Policy and Procedures Manual; payment is only made for units that comply with all requirements.

Due to the hazards caused by the pandemic, WAP will seek means to minimize direct personal contact as much as possible while meeting the monitoring standards required by the Program.

Fiscal Field Monitoring

The Fiscal unit manager closely monitors compliance with Program policies and procedures and in accordance with WPN 20-4.

Fiscal Compliance unit staff (senior accountants) perform periodic on-site monitoring and desk audits of the 50 subgrantee statewide network, including reviews of financial statements, to assure compliance with all financial rules.

Fiscal monitors review subgrantee Single Audits submitted on an annual basis. A management review letter is issued to the subgrantee following review of the audit.

Fiscal monitors complete their monitoring summaries based in part on the summary of their last visit/report. If there were findings on that last report, the follow-up will be part of their monitoring for the current report.

If the prior findings remain uncorrected, that will be reported again on the current report. If the condition is sufficient to warrant further action, the subgrantee may be placed on Fiscal Special Conditions, whereby monitoring becomes more frequent and where special Fiscal signoff may be needed for payments.

For deficiencies reported on a subgrantee's annual evaluation, monitors review the corrective action plan and follow-up during the year as to how successfully it has been implemented. Failure to correct deficiencies may warrant increased training and technical assistance, increased levels of monitoring, or in the most severe cases a formal warning notice which may lead to termination.

Program Field Monitoring



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In 2023, WAP field monitoring staff will be scheduling visits to subgrantees and job sites for monitoring both WAP allocation production projects as well as BIL. Staff will always endeavor to minimize cost and travel time, as well as maximize outcomes of visits, by combining visits to cover both contracts during each visit. This economy of scale should be more efficient, less costly and the additional BIL funding, with a budgeted average of \$1.5M annually to go toward personnel, fringe and travel costs, combined budgeted funds should be more than adequate for maintaining an active monitoring presence. Additionally, starting in 2023, NYS WAP T&TA service provider contracts will be covered using BIL funds, thus removing \$425,682 from the Grantee Program Allocation T&TA budget column.

HCR Program Field Monitors typically perform on-site field visits to each subgrantee to assess subgrantee performance and inspect completed units between four and six times each year. A written report is generally issued to the subgrantee at the end of each visit, but in any case, no later than 30 days following the end of the visit. Where serious or repeated deficiencies are found, the frequency of monitoring may be increased. Each monitor possesses current EPA Renovate, Repair and Paint (RRP) lead paint certifications and NREL Quality Control Inspector certifications. Due to hazards caused by the pandemic, WAP will seek means to minimize direct personal contact as much as possible while continuing to meet the monitoring standards required by the Program.

Grantee staff assigned to monitoring are paid with both LIHEAP and DOE funding. Field staff, both Program and Fiscal, spend much of their time performing subgrantee monitoring (between 50 – 100%), with the balance of their time spent performing subgrantee-related training and technical assistance (0 – 50%), with administrative duties making up 25% or less of their duties. Field monitoring positions are paid with ~34% DOE funds and 66% HEAP funds. Duties described as “admin” fall outside of traditional subgrantee monitoring, or providing training and technical assistance, and have their salaries divided between DOE and HEAP administrative funds. Three staff persons assigned to the Training and Technical Assistance unit are paid 100% with HEAP Admin and DOE T&TA funds.

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

**Training and Technical Assistance**

HCR provides training and technical assistance to maintain and improve subgrantee performance and the quality of work installed with program funds. HCR is under contract with two training and technical assistance providers to help administer its program requirements: The Association for Energy Affordability (AEA) and the NYS Weatherization Directors’ Association (NYSWDA). These procurements will be updated as needed to follow NYS procurement rules. Comprehensive training will be provided by these IREC-accredited organizations that have extensive state-of-the-art training facilities that feature pressure diagnostic houses, heating labs, classroom space, and other resources.

Individual grantee staff independently track their continuing education units required for recertification via the BPI portal. HCR program field representatives review the status of subgrantee staff certification compliance during monitoring visits and will issue written findings to subgrantees that are not in compliance with certification requirements. See Sub Section 2.17 of the PPM for more information on HCR monitoring and field visits.

Required certifications and mandatory training are listed in Sub Section 2.14 of the PPM and communicated via program memo when necessary. Ongoing training is available through NYS WAP contracted technical service providers, who post training calendars on their websites and send out email notices to the WAP network regarding upcoming training.

When topics involve a change to existing WAP policy and procedures (e.g., air sealing standards, changes to audit protocols, etc.) or emphasize an important program area, (ASHRAE 62.2) subgrantee attendance may be mandatory. In this case, the subgrantee is required to assign the most appropriate person to attend.

If a sponsored training is regional in nature or is otherwise limited to a certain group of subgrantees, HCR will inform subgrantees if their attendance is required. If a subgrantee has any doubt regarding attendance, their HCR program field representative should be consulted.

The mandatory training sessions and the personnel required to take them are listed in the PPM, S.S. 2.14. If a subgrantee hires a new employee into any of these positions or a current employee transfer into any of these positions, it is required that they receive the mandatory training within 12 months of their start date.

Training must be repeated every 3 years by subgrantee personnel who occupy these positions, or for the length of time determined by the certification provider. Compliance with this program requirement will be monitored by field staff in their field visit reports. Any agencies that are not in compliance will be referred to the WAP T&TA unit to arrange for mandatory training for appropriate staff members.

Ramifications for non-compliance include: (a) critical program field visit report that would result in an agency having to provide a written action plan for compliance; (b) negative end of year agency evaluation; or (c) disallowing payment for units that were not inspected by a certified QCI. Any subgrantee or sub-

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contracted staff paid with weatherization funds must be supervised for any work activities until all training and certification requirements are met.

HCR also requires that subgrantee personnel in certain professional positions be certified by the Building Performance Institute (BPI). Subgrantees must ensure that any individual holding a staff position that requires certification must meet certification requirements no later than 18 months from the time they are assigned to the position. HCR does not require Subgrantees to make their hiring decisions based on program training or certification requirements.

HCR provides on-going training programs to keep subgrantees and staff current in program requirements, including any that subgrantees need to comply with HCR's Health and Safety Plan. HCR requires subgrantees to comply with ASHRAE 62.2-2016 indoor air quality requirements and will ensure that staff and subgrantees receive training and other support throughout 2023 as requested or deemed needed, including training on any changes to the ASHRAE 62.2 standard that may impact the program. HCR will continue to attempt to balance these requirements with the need to maximize energy savings in assisted units and provide recipients with sustainable installations that they will be able to maintain in future years.

HCR distributes a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials. Also, since 2014 HCR has provided customer education and training documents for subgrantees to utilize for the purposes of customer education. These are available on the HCR web site.

Training consists of the following activities:

**Activity 1:** All subgrantee crews, supervisors, energy auditors and other key staff are provided with classroom, web-based and individual training covering all aspects of the program. Areas such as rules, regulations, policies, procedures, reports, data entry, and forms will be covered. This activity will be aimed at meeting and maintaining State and Federal program, fiscal, and technical standards. HCR will provide this training and technical assistance through assigned staff.

**Activity 2:** This activity corresponds to DOE Comprehensive training. Training of a distinct nature that includes comprehensive, job-specific training which follows a curriculum aligned with the NREL Job Task Analyses (JTAs) for Energy Auditor, Crew Leader, Retrofit Installer, as well as training related to the required QCI micro- credential. This training will be provided by IREC-accredited training providers under a technical services contract, in accordance with all program requirements for Comprehensive training. HCR will provide Comprehensive training opportunities on an ongoing basis, becoming more varied as needs are assessed, curriculums are approved, and accreditations acquired. Training providers will be required to hold IREC accreditations in the corresponding job classifications.

**Activity 3:** HCR will also fund other training and technical support services, including peer-to-peer training activities, monitoring of lead safe practices, energy savings analysis, and specialized training activities to address deficiencies found in field monitoring. This activity corresponds to DOE Specific training.

Other required or approved training will cover topics such as Health & Safety, using the TIPS, TREAT, or EA-QUIP software, creating-cost effective job work scopes, infrared thermography, heating system diagnostics, performing post inspections, managing crews and subcontractors, materials installation, air sealing, and pressure diagnostics. The goal of this training is also to introduce or significantly improve the knowledge and expertise needed to successfully operate local programs and provide quality weatherization services. These training sessions will be provided throughout the year.

**Activity 4:** HCR will distribute a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials.

Coordination of Monitoring and Technical Assistance

HCR utilizes field staff and technical service subgrantees as a quality assurance strategy. Field staff conduct an annual evaluation of each subgrantee's training needs that is used to develop the training curricula for the following year. HCR also has staff specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees.

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During these monitoring visits, when staff observe areas where subgrantees need assistance, the individual staff member will provide the assistance needed or will arrange for other training as described in Activity 1 and Activity 3, above.

HCR has developed comprehensive written training curricula in several areas that have been used for the training of subgrantee staff on a regular basis. As the need arises for training in additional areas, curricula will be developed to insure a comprehensive and uniform approach to the subject matter. This includes required Lead Safe Worker Training, which is conducted by EPA-certified training contractors, and recurring H&S

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training, which now includes details on job site safety relative to COVID and other concerns. HCR has also funded a Clean Boilers Program which qualifies heating system contractors as eligible bidders and establishes a Master Bidders List for multi-family heating systems installed within the weatherization program.

The annual evaluation process described in Section V.6, above, is used to evaluate subgrantee effectiveness in several technical areas, and then HCR technical assistance and program operations staff reviews the results of the evaluations to identify underperforming subgrantees and recommend them for specific training or technical assistance to address the deficiencies.

Client education is primarily the responsibility of the subgrantee. HCR has developed a set of client educational materials to aid subgrantees in this effort. Those materials are on the HCR web site.

Programmatic/Administrative Training

Program Field and Technical staff are always allowed, encouraged and sometimes required to sit in and monitor any training offered by either of our Technical Service Providers so that they're aware of, and are receiving, the same training content and best practices being conveyed to members of the network, which allows them to remain current and up to date on latest standards and techniques.

All program Field monitors have received and currently hold the BPI Energy Auditor certification and QCI micro-credential. That's not an anticipated area of need in PY23 for existing staff as only one member is coming up for renewal.

With the advent of BIL funding, new staff anticipated to be brought in and the need to address newer technologies, it's anticipated in PY23, utilizing both funding streams in support of NYS WAP staff training efforts, that program training would get to include revamped and more comprehensive field representative training, including additional topics like EPA 68 type I and type II training; OSHA based electrical safety, hazards, controls and best practices for tech field operations reps, and the creation of a fiscal monitoring module to better align monitoring techniques and practices statewide for consistency and clarity, and a 'influencer' module monitoring staff to help develop skills allowing them to influence more reticent subgrantees to move beyond entrenched approaches or mindsets.

Administrative as well as Fiscal staff, due to a relaxing of travel restrictions and a renewed dedication by executive management to supplying a robust staff presence at professional conferences throughout the country, will be taking advantage of professional training conferences (NASCS's fall and mid-winter training conferences in particular) in 2023 to grow their program management knowledge, both for those who have been in the same positions for the last few years, as well as newer staff, or staff in new positions.

Percent of overall trainings

Comprehensive Trainings:	38.0
Specific Trainings:	62.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	50.0
Percent of budget allocated to Crew/Installer trainings:	48.0
Percent of budget allocated to Management/Financial trainings:	2.0

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

**Energy Crisis and Disaster Relief**

In the event of a natural disaster during the program year, subgrantees that serve areas that have been designated as federal disaster areas will be required to prioritize service to buildings occupied by disaster victims. In some cases, subgrantees covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the subgrantee that primarily serves that area. Work will be limited to allowable Program measures.