

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009927	2. Program/Project Title Weatherization Assistance Program
3. Name and Address Pennsylvania, Commonwealth of Commonwealth Keystone Bldg., 4th Floor Harrisburg, PA 171200225	4. Program/Project Start Date 07/01/2023
	5. Completion Date 06/30/2024

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.042	\$ 3,750,000.00		\$ 20,825,124.00		\$ 24,575,124.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 3,750,000.00	\$ 0.00	\$ 20,825,124.00	\$ 0.00	\$ 24,575,124.00

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	\$ 295,540.00	\$ 0.00	\$ 171,135.00	\$ 0.00	\$ 504,175.00
b. Fringe Benefits	\$ 147,033.00	\$ 0.00	\$ 114,807.00	\$ 0.00	\$ 261,840.00
c. Travel	\$ 59,644.00	\$ 0.00	\$ 27,500.00	\$ 0.00	\$ 87,144.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 715,714.00	\$ 1,811,634.00	\$ 2,624,331.00	\$ 438,897.00	\$ 23,174,979.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 282,382.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 282,382.00
i. Total Direct Charges	\$ 1,500,313.00	\$ 1,811,634.00	\$ 2,937,773.00	\$ 438,897.00	\$ 24,310,520.00
j. Indirect Costs	\$ 167,571.00	\$ 0.00	\$ 97,033.00	\$ 0.00	\$ 264,604.00
k. Totals	\$ 1,667,884.00	\$ 1,811,634.00	\$ 3,034,806.00	\$ 438,897.00	\$ 24,575,124.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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5. TOTAL		\$ 3,750,000.00	\$ 0.00	\$ 20,825,124.00	\$ 0.00	\$ 24,575,124.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) LEVERAGING	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 504,175.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 261,840.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 87,144.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 12,306,982.00	\$ 2,328,855.00	\$ 223,848.00	\$ 94,000.00	\$ 23,174,979.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 282,382.00
i. Total Direct Charges	\$ 12,306,982.00	\$ 2,328,855.00	\$ 223,848.00	\$ 94,000.00	\$ 24,310,520.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 264,604.00
k. Totals	\$ 12,306,982.00	\$ 2,328,855.00	\$ 223,848.00	\$ 94,000.00	\$ 24,575,124.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
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5. TOTAL		\$ 3,750,000.00	\$ 0.00	\$ 20,825,124.00	\$ 0.00	\$ 24,575,124.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2) Weatherization Readiness	(3) SERC Subgrantee Administration	(4) SERC Grantee Administration	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 37,500.00	\$ 504,175.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 261,840.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 87,144.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 74,672.00	\$ 2,093,546.00	\$ 37,500.00	\$ 0.00	\$ 23,174,979.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 282,382.00
i. Total Direct Charges	\$ 74,672.00	\$ 2,093,546.00	\$ 37,500.00	\$ 37,500.00	\$ 24,310,520.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 264,604.00
k. Totals	\$ 74,672.00	\$ 2,093,546.00	\$ 37,500.00	\$ 37,500.00	\$ 24,575,124.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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5. TOTAL		\$ 3,750,000.00	\$ 0.00	\$ 20,825,124.00	\$ 0.00	\$ 24,575,124.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SERC Program Operations	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 504,175.00
b. Fringe Benefits	\$ 0.00				\$ 261,840.00
c. Travel	\$ 0.00				\$ 87,144.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 0.00
f. Contract	\$ 425,000.00				\$ 23,174,979.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 282,382.00
i. Total Direct Charges	\$ 425,000.00				\$ 24,310,520.00
j. Indirect Costs	\$ 0.00				\$ 264,604.00
k. Totals	\$ 425,000.00				\$ 24,575,124.00
7. Program Income	\$ 0.00				\$ 0.00

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

(Grant Number: EE0009927, State: PA, Program Year: 2023)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Action Housing, Inc. (Pittsburgh)	\$3,879,729.00 344
Agency on Community EmPOWERment of NEPA (Scranton)	\$316,421.00 28
Armstrong County Community Action Agency (Kittanning)	\$163,836.00 15
Berks Community Action Program (Reading)	\$348,003.00 31
Blair County Community Action Program (Altoona)	\$220,316.00 20
Bucks County Opportunity Council, Inc. (Doylestown)	\$319,483.00 29
Carbon County Action Committee for Human Services (Lehighton)	\$143,330.00 13
Center for Community Action (Everett)	\$432,951.00 39
Central PA Community Action Program, Inc. (Clearfield)	\$315,814.00 28
Commission on Economic Opportunity of Luzerne County (Wilkes-Barre)	\$428,425.00 38
Community Action Agency of Delaware County (Boothwyn)	\$1,480,754.00 132
Community Action Committee of Lehigh Valley, Inc. (Bethlehem)	\$501,342.00 45
Community Action Partnership of Mercer County (Sharon)	\$331,432.00 30
Community Action, Inc. (Punxsutawney)	\$375,660.00 34
Energy Coordinating Agency (Philadelphia)	\$2,097,150.00 187
Erie County Housing Authority (Corry)	\$423,036.00 38
Housing Authority of the County of Beaver (Beaver)	\$227,317.00 20
Lawrence County Social Services (New Castle)	\$189,101.00 17
Lycoming/Clinton Counties Commission for Community Action (Williamsport)	\$258,603.00 23
Monroe County Redevelopment Authority (Stroudsburg)	\$202,206.00 18
Northern Tier Community Action Corporation (Emporium)	\$267,138.00 24
Northumberland County Weatherization (Sunbury)	\$190,381.00 17
Northwest PA Weatherization, Inc. (Meadville)	\$199,473.00 18
Redevelopment Authority of the County of Fayette (Uniontown)	\$254,027.00 23

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Schuylkill County Community Action (Pottsville)	\$221,154.00 20
SEDA-Council of Governments (Lewisburg)	\$451,974.00 40
South Central Community Action Program, Inc. (Gettysburg)	\$677,827.00 60
Tableland Services, Inc. (Somerset)	\$175,101.00 16
The TREHAB Center (Montrose)	\$363,202.00 32
Warren/Forest Economic Opportunity Council (Warren)	\$251,602.00 22
Wayne County Redevelopment Authority (Honesdale)	\$217,103.00 19
Weatherization, Inc. (Huntingdon)	\$136,040.00 12
Westmoreland Housing Authority (Greensburg)	\$359,971.00 32
York County Board of Commissioners (York)	\$326,089.00 29
Total:	\$16,745,991.00 1,493

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	1,488
Rewatherized Units	5
Planned SERC Units *	96
Average Unit Costs, Units subject to DOE Project Rules	
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)	
A Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B Total Units Weatherized	1,488
C Total Units Rewatherized	5
D Total Dwelling Units to be Weatherized and Rewatherized (B + C)	1,493
E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)	
F Total Funds for Program Operations	\$12,306,982.00
G Total Dwelling Units to be Weatherized and Rewatherized (from line D)	1,493
H Average Program Operations Costs per Unit (F divided by G)	\$8,243.12
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$8,243.12

IV.3 Energy Savings

**U.S. Department of Energy
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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	1493	29.3	43745
	Prior Year Estimate	1262	29.3	36977
	Prior Year Actual	1213	29.3	35541
Method used to calculate savings description:				

IV.4 DOE-Funded Leveraging Activities

The Department continues to explore and develop partnerships with utility companies, the Public Utility Commission (PUC), and other entities that will generate non-Federal resources for Weatherization. Staff will continue to expand the leveraging of utility funds through the coordination of treatment costs with Electric Distribution Companies (EDCs) and Natural Gas Distribution Companies (NGDC) through contracts with subgrantees and directly with the Department. A survey has been conducted to assess the barriers to coordinating utility and weatherization work on more units. The Utility Coordination Committee meetings discussed the survey results and continue to discuss prioritization of clients and coordination of eligibility factors, as they have been identified as barriers.

Subgrantees have been encouraged to contact the EDCs and NGDCs in their service territory and have established procedures for the coordination of base load treatment costs wherever possible. A statewide joint WAP/Utility Home Performance Conference is being considered for 2024. Feedback regarding the conference held in 2019 stated that it was an ideal opportunity to earn continuing education credits, network with fellow WAP agencies and utility companies, and various topics were reviewed within Building Envelope, HVAC Technologies and Ventilation to include Program and Operations' topics.

The Department continues to implement an Invitation to Qualify (ITQ) for WAP leveraging activities. An ITQ is a multiple award process which is used to prequalify contractors through the PA Department of General Services application process. The Commission on Economic Opportunity (CEO) and the Pennsylvania Utility Law Project (PULP), a specialized service of Regional Housing Legal Services submitted proposals and were placed on a statewide list of similar contractors. CEO and PULP were chosen to advocate, participate and/or intervene in rate cases, acquisitions and mergers involving both electric and gas companies to ensure favorable outcomes for low-income residents based on their response to the scope of work requirements, experience, and knowledge of the Weatherization Assistance Program. CEO focused on rate case interventions while PULP focused on the policy and advocacy activities. Both agencies provided representation on behalf of low-income residents at various utility proceedings, program reviews, and legislative hearings throughout the state.

CEO and PULP focuses their efforts on the following activities:

- ACT 129 proceedings
- Universal Service and Energy Conservation Program reviews
- Retail Market proceedings
- Default Service proceedings
- Administrative and Legislative Advocacy

Many of these activities and accomplishments cover multiyear time periods, therefore the overall amount of funds generated from the combined leveraging activities of both agencies is accomplished annually and is somewhat estimated based on the ongoing activities. For FY21/22, over \$4.7 million was generated. This increased funding which is generated through leveraging activities results in additional weatherization services for low-income households and since the PA Weatherization agencies work on coordinating the utility funds with the weatherization work done on the eligible homes, the increased funding helps produce an increased amount of homes at a lower average cost. For FY21/22, approximately 590 units were weatherized due to these leveraged funds.

The percentage of contract funds allocated for leveraging activities is .5% at \$94,000. For FY 2023-2024, along with the reporting the dollar amount gained, the number of homes weatherized with the utility funds will be reported. In addition, the Weatherization agencies who retain their utility contracts as a result of the leveraging activities will be reported.

The Department plans to implement the ITQ process again in 2023-2024 to continue similar rate case interventions and various policy and advocacy activities.

IV.5 Policy Advisory Council Members

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

Center for Community Action	Type of organization: Local agency Contact Name: Diana Dick Phone: 8146239129 Email: ddick@ccaofpa.org
Center for Community Action	Type of organization: Contact Name: Wendy Melius Phone: 8146239129 Email: wmelius@ccaofpa.org
Columbia Gas of Pennsylvania	Type of organization: Utility Contact Name: Deb Davis Phone: 7244166316 Email: ddavis@nisource.com
Commission on Economic Opportunity of Luzerne Co.	Type of organization: Local agency Contact Name: Jennifer Warabak Phone: 5708260510 Email: jwarabak@ceopeoplehelpingpeople.org
Community Action Association of PA	Type of organization: Non-profit (not a financial institution) Contact Name: Beck Moore, Executive Director Phone: 7172331075 Email: bmoore@thecaap.org
Consultant/Advocate	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Mitch Miller Phone: 7179032196 Email: mmiller77@hotmail.com
Department of Health	Type of organization: Unit of State Government Contact Name: David Saunders Phone: 7175473315 Email: davidsaund@pa.gov
Department of Human Services	Type of organization: Unit of State Government Contact Name: Carl Feldman, Director Phone: 7177874081 Email: carfeldman@pa.gov
Department of Human Services	Type of organization: Unit of State Government Contact Name: Brian Whorl Phone: 7177874081 Email: bwhorl@pa.gov
Dept. of Environmental Protection	Type of organization: Unit of State Government Contact Name: Sarah Pinter Phone: 7177728951 Email: spinter@pa.gov
Energy Association of Pennsylvania	Type of organization: Non-profit (not a financial institution) Contact Name: Donna Clark Phone: (717)901-0600 Email: dclark@energypa.org
Energy Coordinating Agency of Philadelphia	Type of organization: Local agency Contact Name: Steve Luxton Phone: 2156091033 Email: stevel@ecasys.org
Lawrence County Community Action Partnership	Type of organization: Non-profit (not a financial institution) Contact Name: Tom Scott, CEO Phone: 7246587258 Email: tscott@lccap.org
PA Public Utility Commission	Type of organization: Unit of State Government Contact Name: Regina Carter Phone: 7174255441 Email: regincarte@pa.gov
	Type of organization: Non-profit (not a financial institution)

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PA Utility Law Project	Contact Name: Elizabeth R. Marx Phone: 7177103825 Email: emarxpulp@palegalaid.net
Pennsylvania College of Technology	Type of organization: Other Contact Name: Alison Diehl, Director Phone: 5703274768 Email: aad1@pct.edu
Philadelphia Energy Authority	Type of organization: Other Contact Name: Alon Abramson Phone: 2156864483 Email: aabramson@philaenergy.org
PPL Electric Utilities	Type of organization: Utility Contact Name: Gladys Malone Phone: 4846343298 Email: gtmalone@pplweb.com
Public Utility Commission	Type of organization: Unit of State Government Contact Name: Sarah Dewey Phone: 7177054029 Email: sdewey@pa.gov

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/18/2023	The public hearing on this plan was held via a hybrid version of in person public meeting and Teams Meeting/conference call on April 18, 2023. Notice of the Hearing details was filed with the Legislative Reference Bureau, published in the Pennsylvania Bulletin on April 08, 2023, and posted on the Department website on April 07, 2023. Here is a link to the PA Bulletin: https://www.pacodeandbulletin.gov/Display/pabull?file=/secure/pabulletin/data/vol53/53-14/461.html Justification for use of PA Bulletin: The Pennsylvania Bulletin is used according PA Code. In addition to advertising in the PA Bulletin, the DOE State Plan Public Hearing and posting was also announced at the PAC Meeting on 3/16/2023 and Bi-Weekly Network Calls as well as posting the plan on the DCED website. The information for the Pennsylvania Code included at this website has been derived directly from the Pennsylvania Code, the Commonwealth's official publication of rules and regulations. Cite all material in the Pennsylvania Code by title number and section number. Example: 1 Pa. Code § 17.51. The information for the Pennsylvania Bulletin included at this website has been derived directly from the Pennsylvania Bulletin, the Commonwealth's official gazette for information and rulemaking. The latest published information may be accessed every Friday at 9 a.m. EDT. Cite all material in the Pennsylvania Bulletin by volume and page number. Example: 17 Pa.B. 639.

IV.7 Miscellaneous

<p>The Principal Investigator and Recipient Business Officer for this grant is Mr. Nicholas Horting, Director, Whole Home Repairs Program and Weatherization Assistance Program of the Department of Community and Economic Development, Commonwealth Keystone Building, 400 North Street, 4th Floor, Harrisburg, PA 17120-0225. Phone is (717) 720-1409 and email is nhorting@pa.gov.</p> <p>Agency Funding</p> <p>Beginning for the new DOE grant which started in 2022, DCED in partnership with the WAP agency network, the Policy Advisory Council (PAC) and a DOE Allocation Committee analyzed the shifting data trends as applied to individual agency capacity and developed an Allocation Formula which utilizes updated data and phases in the formula allocation amounts over a 6 year period to be reviewed again in the middle at the 3 year mark for continued feasibility. For the grant period, we will be in Year 2 of the phased in formula approach. The updated formula continues to utilize a base amount from the legacy formula, which decreases in the percentage used over the 6 year timeframe. The additional portion of the formula uses recently updated statistics based on a five year average of the low-income population to the state total low-income population at 200% of the Federal Poverty Guidelines; a five year average of the heating degree days to the state total; and a new category has been added of energy burden. The plan is to update the poverty, heating degree days and energy burden statistics every 6 years which represents 2 DOE grant cycles. This formula of funding establishes a baseline capacity in order for each agency to maintain a certified workforce and conduct WAP according to the required SWS.</p> <p>DCED plans to evaluate the use of this new formula and confirm that it will help the WAP Network achieve 100% production and expenditures and to recreate a sustainable agency framework for Pennsylvania, as needed.</p> <p>For program year 2022-2023, income eligibility is set at 200% of Federal Poverty Guidelines and the allowable average cost per dwelling unit is \$8,250.</p>
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The Department will reallocate funds based on the WAP Risk Assessment results as well as performance including meeting production goals over the contract period. For annual DOE allocations, subgrantees who have not met their production goals for the prior year may be awarded 50% or less of their regular allocation. The subgrantees will receive notification about the reason(s) for the reduction and the offer of guidance and assistance in resolving the issues. They must provide a specific timeline to meet the required performance criteria and production goals and respond to the Department's offer of guidance and assistance in resolving the issues with specific needs that can be addressed.

PA has implemented a risk and performance-based allocation which is driven by a review of subgrantees' production, work quality, compliance and reporting. The Risk Level and due process for noncompliance requirements are distributed via this DOE state plan and to each agency when they are notified of their Risk Assessment results.

Policy Advisory Council (PAC)

In accordance with 10 CFR, Section 440.17, the Department has established a Weatherization and Energy Conservation Policy Council to advise the Department on issues related to the administration of the weatherization program. The council has reviewed the by-laws, established sub-committees, meets quarterly, and regularly recruits volunteers. The PAC reviews the annual state plan, and where feasible, its comments and recommendations are included prior to submission of the annual Plan to the Department of Energy.

The Policy Advisory Council includes representatives of electric utilities, utility associations, subgrantees, energy advocacy groups, social service agencies and other governmental agencies. The current Policy Advisory Council members each have special qualifications and sensitivity with respect to representing low-income populations to include elderly, disabled, children, minorities, energy conservation and efficiency, energy research, the environment, public service, and housing.

DOE Weatherization Readiness Program

The DOE Weatherization Readiness amount of \$1,793,546 has been added as a separate budget category in the SF424A Budget.

Please note **neither** the subgrantee T/TA or the Weatherization Readiness funds have been added to the Annual File Agency Allocations, since the WAP Readiness funds, alone, will not produce additional weatherized units. PA plans to allocate the Weatherization Readiness funds to all 34 agencies. However, since the Weatherization Readiness jobs will be counted separately, and will also be weatherization jobs, we chose to not include the funds in the Annual Plan budget information.

Additionally, we will make the subgrantee T/TA funds available to all 34 agencies.

PA has been operating a LIHEAP Deferral program since 2017. Therefore, we had a program and guidelines that we knew worked for such a program. The LIHEAP Deferral Program Guidelines were adjusted for some changes and differences for the use of these Weatherization Readiness funds.

According to our estimations, these WRF funds will be used to work on approximately 110 units. For the last WAP Readiness program year, at this writing agencies have completed 29 WAP Readiness jobs. We predicted that we would have to preapprove a number of jobs due to the proposed higher costs of the deferral work. So far, we have provided state approval for 7 jobs, about 24%. For this year's funds, we foresee that at least 24% of the units will require DCED approval. Therefore, we will be desk reviewing and pre-approving approximately 24% of these jobs for the deferral work. That review will be added to part of the regular monitoring work/report that is completed by each monitor. The monitoring team will also monitor approximately 10 of the completed deferral and weatherization jobs as part of their regular on-site monitoring. However, the ability to monitor this work is dependent on the timeliness of the work as it is completed.

Below is our general guidance for the operation the DOE Weatherization Readiness Program:

The purpose of the DOE Weatherization Readiness Program is to perform energy related repairs in homes so that units will be in appropriate condition for a weatherization audit to be performed and energy conservation measures installed. These homes must be eligible for the Weatherization Assistance Program (WAP) and must have been deferred for WAP services due to the repair issues that need to be remediated. Once the home has received weatherization services, the projected results include increased energy savings, reduced fuel use and cost, and providing a safe and healthy home environment.

Please note that the DOE Weatherization Readiness and deferral work language used, are interchangeable terms within this guidance.

Limits – In order to perform the deferral work, it should be preliminary assessed that the home could benefit from weatherization services. These funds can be utilized for single family and/or manufactured housing.

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Homes for this program have been prioritized based on the PA Priority Point system. The need for deferral is usually discovered during the audit process. During that process, if the home is going to be deferred, the home must be assessed to determine the overall needs and plans to remediate all the deferral issues so that the home can be weatherized.

The amount per home of deferral work can fluctuate and must be considered in relation to the reasons for deferral, the estimated costs to correct, and the overall value of the home. The maximum amount of DOE WAP Readiness funds that can be spent for the deferral work on a unit is \$15,000. If the deferral work needed on the home exceeds that maximum amount, then other funds must be utilized to complete all the deferral work in the home so that weatherization services can be completed. Agencies may utilize, HOME funds, PHARE funds, utility or any other home repair type funds to complete the deferral work.

Weatherization work can be completed with Annual DOE, DOE BIL and/or LIHEAP Standard funds. However, Annual DOE and DOE BIL funds cannot be braided.

If the estimated job cost for deferral work exceeds \$8,500, the Job Number, Total Amount, at least two detailed estimates, and a brief description of the work to be conducted must be submitted for approval to the weatherization resource account at ra-wxmail@pa.gov, prior to starting work.

Within the Annual DOE Budget Workbook, there will be a separate column for the DOE WAP Readiness funds. Allowable budget categories include:

1. Administrative
2. Financial Audit
3. Direct Services including:
 1. Program Support
 2. Program Operations
 - Direct and Subcontract labor
 - Materials
4. Liability Insurance

A Work Plan for this program will include the number of deferred units to be completed and weatherized within the Annual DOE Program Year which will be July 1, 2023 to June 30, 2024 for these funds, although the overall use of these funds has an extended and will be reallocated, as necessary, to ensure expenditure of the entire allocation.

Allowable Activities

Below is a list of activities that are within the parameters of the DOE Weatherization Readiness Program. All activities must have been previously determined as a cause for the home to be deferred, recognizing that there may be multiple reasons for deferral in the home. This list is not all-inclusive.

- Mold Remediation
- Moisture Control
- Knob & Tube Wiring Issues
- Grading
- Roof Repair
- Roof Replacement
- Gutters, Downspouts, and Runoffs/Drainage System
- Sump Pump Installation
- Pest Control
- Air Exchange Issues
- Radon Testing & Mitigation
- Asbestos Testing & Mitigation
- Lead Paint Testing & Mitigation (beyond the typical scope of WAP work)

Allowable Practices

Allowable activities in the deferral program will be more extensive than what is allowable under normal weatherization health and safety or incidental/ancillary repair work. Deferral work might include, but is not limited to, general repair work for structural issues, plumbing and electrical work, mold and mildew remediation via specialists, and roof repair or replacement.

Hot water heater replacement should only be considered under this deferral program if it is part of other deferral activities.

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The agency is responsible to obtain cost estimates for all work required, including local municipality permits, if needed. Any permit or fee should be included in the price of the corresponding measure.

Methods must be those that are used to **correct the issue of all deferral work** and will allow weatherization services to proceed. If additional funds are needed to complete the deferral work, other leveraged funds may be used to complete deferral work. All funds used in the unit must be documented and tracked. You will be required to track all deferred units in the DOE Tracking and Deferral Spreadsheet but additional information may be required for the WRP jobs.

Client Education regarding the deferral work and weatherization work must be provided during all stages of the job.

Case-by-Case Practices

Approval from DCED must be obtained for the following methods on a case-by-case basis:

- Heating System Replacement
 - Examples of reasons for allowing this might be that the household does not qualify for Crisis or the agency has exceeded their health and safety limit.
- Gas Range Replacement
 - Examples of reasons for allowing this might be that the CO level is exceeded, or the agency has exceeded their health and safety limit for gas range work.
- Miscellaneous
 - Any proposed deferral work which is not listed in the prescribed list of deferral measures within these guidelines and is planned because the agency has exceeded their health and safety limit.

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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

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

Eligibility Determination

1. A dwelling unit is eligible for weatherization services only if:

a. The total annual income of all occupants living together within the dwelling unit is at or below 200 percent of the Federal Poverty Income Guidelines (FPIGs) as established by the US Department of Health and Human Services Office of Management and Budget for the 12-month period preceding the Eligibility Determination.

1) Subgrantees are responsible for updating the FPIGs they have on record as often as they are updated on the website of the U.S. Department of Health and Human Services.

2) Income Eligibility is calculated using income of the prior 12 months for all occupants residing in the dwelling unit.

3) Regardless of when a person begins occupying a client's dwelling unit, the income of all persons occupying the dwelling unit at the time of Eligibility Determination must be included for the entire previous twelve months.

4) The FPIG's are generally updated once a year at the beginning of the calendar year.

a. The current version can be found at: <https://aspe.hhs.gov/poverty-guidelines>

b. Categorically Eligible Considerations:

b. Considered to be categorically eligible according to rules stated in WPNs 22-5 and 22-3, which allow for automatic eligibility based on at least member of the household qualifying for Temporary Assistance for Needy Families (TANF), Supplemental Security Income (SSI), Low Income Home Energy Assistance Program (LIHEAP), certain means- tested Housing and Urban Development (HUD) programs or utilizing HUD or USDA lists or spreadsheets as listed in WPN 22-5 or WAP Memo 99.

c. Eligibility under TANF, SSI, LIHEAP, HUD means-tested programs and HUD or USDA lists or spreadsheet is automatic and, proof of eligibility must be conducted through the receipt of applicant documentation.

d. Eligibility by Title IV or XVI of the Social Security Act

1) Title IV of the Social Security Act refers to Temporary Assistance for Needy Families (TANF) while Title XVI of the Social Security Act refers to Supplemental Security Income (SSI).

2) Eligibility under TANF or SSI is automatic and proof of eligibility must be documented

a. Note: Social Security Disability Insurance (SSDI) is covered under Title II of the Social Security Act and is not addressed in 10 CFR 400 or DOE guidance; therefore, SSDI payments are included as income.

e. Eligibility by LIHEAP Block Grant Statute, Title 45

1) Codified in 10 CFR 440.22(a)(3), to allow inclusion of households that are income eligible for the U.S. Department of Health and Human Services' (HHS) Low Income Home Energy Assistance Program (LIHEAP).

f. Eligibility by certain means-tested HUD programs, Title 24

1) As required in in 42 U.S. Code § 6863(b)(3), on October 20, 2021, the Secretary of Energy approved DOE's WAP to extend categorical income eligibility to HUD means-tested programs.

2) For example, but not limited to: Community Development Block Grants (CDBG), HOME Investment Partnerships Program (HOME), Lead Hazard Control & Healthy Homes Program (OLHCHH).

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3) For agencies choosing to incorporate the means-tested HUD program method, a list of all applicable HUD Programs must be provided during application process.

g. Eligibility based on listing in HUD Public Housing list, or the HUD Assited Multifamily Spreadsheet found in WPN 22-5: [Weatherization Program Notice 22-5: Expansion of Client Eligibility in the Weatherization Assistance Program | Department of Energy](#)

h. Also, for multifamily, eligibility may be based on listing in USDA list found in WAP Memo 99, found at this link: [Weatherization Memorandum 099: Eligible Buildings - US Department of Agriculture Lists | Department of Energy](#)

2. All applicants are U.S. Citizens or Lawfully Admitted Non-Citizen

a. PA WAP will abide by section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) – H.R.3734 passed by the 104th Congress, commonly known as the welfare reform law. The act covers larger groups of lawfully admitted non-citizens.

b. Lawfully admitted non-citizens are eligible to receive assistance and services under the WAP and LIHEAP programs so long as they meet all other WAP and LIHEAP requirements. Proof of identity is required.

c. Subgrantees should refer to H.R. 3734 for guidance on lawfully admitted non-citizens at this link: [H.R.3734 - 104th Congress \(1995-1996\): Personal Responsibility and Work Opportunity Reconciliation Act of 1996 | Congress.gov | Library of Congress](#) and the DCED Directive, Eligibility, Client Prioritization and Weatherization Service List.

d. For acceptable eligibility documentation, please refer to Proof of Identity section below.

Income Determination

A. Income Inclusions

1. Income is defined as cash receipts earned and/or received by the clients before taxes and deductions but not the Income Exclusions listed immediately below.
2. All income that is not specifically excluded must be included.
3. Cash receipts include, but not limited to, the following:
 - i. Money, wages and salaries before taxes and any deductions
 - ii. Net receipts from nonfarm or farm self-employment (receipts from a person's own business or from an owned or rented farm less deductions for business or farm expenses)
 - iii. Regular payments from social security including SSDI, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments.
 - iv. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments (including Black Lung).
 - v. Dividends and/or interest
 - vi. Net rental income and net royalties
 - vii. Periodic receipts from estates or trusts
 - viii. Net gambling or lottery winnings

B. Income Exclusions: The following cash receipts are not considered sources of income for the purposes of determining income eligibility:

1. Capital gains
2. Any assets drawn down as withdrawals from a bank
3. Money received from the sale of property, house, or car

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4. Onetime payments from a welfare agency to a family or person who is in temporary financial difficulty
5. Tax refunds
6. Gifts, loans, or lumpsum inheritances
7. College scholarships
8. One time insurance payments, or compensation for injury
9. Non cash benefits, such as the employer-paid or union-paid portion of health insurance
10. The imputed value of rent from owner-occupied non-farm or farm housing;
11. Depreciation for farm or business assets;
12. Combat zone pay to the military
13. Reverse Mortgages
14. Payments for the care of Foster Children
15. Child Support Whether received by the Payee or paid by the Payor, child support payments are not considered sources of Income for the purposes of determining income eligibility.
 - i. Payee: Child support received by a Payee from any state program or individual during an applicable tax year is not considered income (and is excluded) for the purposes of determining eligibility.
 - ii. Payor: Child support paid by a Payor through a state program and/or to an individual may not be deducted from income (and is included for purposes of determining eligibility).
16. Noncash benefits
 - i. Noncash benefits refer to benefits that the client does not pay as cash or receive as cash. These may include:
 - a. Employee fringe benefits, food, or housing received in lieu of wages;
 - b. The employer or union paid portion of health insurance;
 - c. The noncash components of Federal noncash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance.
 - d. Deductions from a paycheck are not considered non-cash and would, therefore, be included. Examples include:
 1. Included as Income: If a client's regular social security is \$10,000 per year, but 10% is automatically deducted for Medicare, then the client only receives \$9,000. When figuring income for WAP, though, this client's annual income from Social Security is \$10,000, not \$9000 because this is not considered a noncash benefit.
 2. Excluded from Income: If the same client receives, through Medicare, noncash medical services (prescription drugs, a surgery, or some other noncash service) valuing \$30,000, these services would be excluded because they are noncash benefits. In this case, the client's income is still \$10,000, not \$40,000.
17. Cash or in-kind assistance with heating costs provided by private or public agencies or utility companies.
18. Do not count or enter earned income or unemployment compensation for minors under the age of 18 or full time high school students at the time of application.

Income Eligibility Verification Sign Off

- A. If the household income has increased, the subgrantee must redetermine income eligibility.

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- B. If the household size and/or composition changed such that the income eligibility no longer qualifies the dwelling unit, the subgrantee must either redetermine income eligibility or defer the client.
- C. The Income Eligibility Verification Sign Off must be included in the Client File.
 - 1. The Income Eligibility Verification Sign Off must be dated no earlier than one week prior to the audit and no later than the date of the audit.
 - 2. Subgrantees must defer clients who do not sign the Income Eligibility Verification Sign Off. Such clients may not receive weatherization services until the client signs the Income Eligibility Verification Sign Off.
 - 3. For subgrantees whose clients sign the Income Eligibility Verification Sign Off on the date of the audit, it is recommended that, prior to the audit, subgrantees notify clients that they will have to sign the Income Eligibility Verification Sign Off. It is suggested that at this same time, subgrantees verbally verify with clients that their eligibility status has not changed.

Income Eligibility Validation Period

- A. Weatherization validation periods defined:
 - 1. Weatherization services in the dwelling unit are considered to begin on the date of the audit.
 - 2. For reporting purposes, weatherization services in the dwelling unit are considered to be complete when marked complete in Hancock.
- B. Income Eligibility Validation Period
 - 1. Eligibility Determination should occur no earlier than twelve months prior to the completion of weatherization services in the dwelling unit.
 - i. If circumstances prevent the completion within the twelvemonth timeframe from the date of the audit and work has begun, there must be documentation in the client file explaining the reason/s for the delay and eligibility would remain valid.
 - ii. If the audit has been conducted but no work started, eligibility determination is only valid for twelve months from the audit date and eligibility must be re-determined.

Proof of Income

- 1. Subgrantees must acquire proof of eligibility and thoroughly document in the Client File all aspects of Eligibility Determination and Proof.
- 2. Methods of Proof
 - i. The following subsections are non exhaustive collections of examples of documents providing proof of eligibility; as such other forms of eligibility proof may exist or in some cases, the listed methods may be inadequate. Regardless of these examples, subgrantees are responsible for proving eligibility.
 - ii. LIHEAP Crisis eligibility is documented by the completed Crisis Interface Referral Form.
 - iii. No matter what method is used, proof of eligibility must be thoroughly established and fully and completely documented in the Client File.
 - iv. Any document signature requiring notarization may be either:
 - a. Notarized; or
 - b. Witnessed by a subgrantee representative, but only if:
 - 1. The person(s) signing the document(s) provide valid proof of identity (this proof of identity must be documented with the signed documents); and
 - 2. The subgrantee representative signs and dates the document(s) as a witness to verify the identity of the person(s) signing the document (s).
- 3. Proof of Eligibility for Title IV or XVI of the Social Security Act, LIHEAP, means-tested HUD programs or HUD or USDA Public Housing or multifamily:
 - 1. Title IV, Temporary Assistance for Needy Families (TANF): Statement from local Department of Human Services office

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2. Title XVI, SSI, Supplemental Security Income

- i. Statement from the local Social Security Office, using Form SSA3288 (or a "benefit verification letter") requesting the appropriate benefits information.
- ii. Statement from the Social Security Administration (SSA) by requesting a "Proof of Income Letter" through the SSA website.
- iii. Applicable "Notices of Benefit Amount," received in December, and describing the following year's monthly benefit.

3. Regular Social Security Benefits

- i. Any of the items listed above for SSI
- ii. Copies of social security checks or bank statements showing direct deposits (if Medicare or other payments are deducted these should be added to the total)

4. LIHEAP Block Grant Statute, Title 45: Statement from local Department of Human Services office or letter of eligibility or other official documentation of LIHEAP eligibility to include the Crisis Referral Form.

5. Means-tested HUD programs, Title 24: Letter of eligibility of other official documentation of Means-tested HUD program

i. Weatherization Agency must provide list of means-tested HUD programs in their area for each program year and is responsible for submitting updates as necessary.

6. For single family, Public Housing or Multifamily, when utilizing either HUD or USDA lists mentioned in Income Eligibility section above, a copy of the property listing from the list must be included in each file as proof of income, eligibility documentation.

1. Income Documentation

1. Wages or Salaries

- i. Statement from employer stating wages, rate of compensation, or pay stubs
- ii. A W2 or 1099 may be used to verify income for the prior 12 months at any point during the calendar year **if 12 months of income can be verified. This verification can be partially from the W2 or 1099 and the other portion must be the other months' proof of income, i.e., pay stubs, pensions or self certification** When reviewing a W2, the Earnings Summary should also be reviewed to confirm the gross earned income amount before any elective deferrals.

iii. Self-employment/Business Income

- a. Notarized documentation providing a detailed description of gross income received, less expenses (i.e. net income)
- b. Quarterly or annual signed tax forms (including appropriate schedules)
- c. If the subgrantee becomes aware of a business operated from the private residence or a commercial location, the business owner must provide proof of net income as identified in the Eligibility Determination section

2. Dividends, Interest, Royalties, Rents, Income from Estates or Trusts: Written documentation from the business or organization and/or legal entity from which the income has been generated.

3. Unemployment Benefits, Pensions, Insurance and Annuities, Worker's Compensation, Strike Benefits

- i. Documentation must be generated by the appropriate legal entity
- ii. Statement from local Unemployment Compensation office
- iii. If taxes are not withheld, Notice of Determination (Unemployment Compensation) checks or bank statements showing direct deposits of Unemployment Compensation for the previous twelve months or for the period for which benefits were received. If taxes are withheld, this income should be converted to the pretax level.

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4. Net Rental Income

- i. Net Rental Income is defined as Gross Rental Income receipts less Rental Expenses. Proof of Net Rental Income can be provided by one of the methods listed below.
 - ii. Copy of prior year tax return showing net rental income.
 - iii. Copies of any agreement or lease which specifies the client's name, effective dates, and rental amount along with copies of expenditure receipts
 - iv. If the prior year tax return or rental agreements are not available, then one of the following methods may be used to document net rental income
 - a. Copies of receipts issued to tenants along with copies of expenditure receipts
 - b. Notarized statement describing any rental agreements and including the client's name, effective dates, and all net rental income
5. Self certification: If no other method of documenting income eligibility exists, to include if the client states "no income" self certification is allowable, but evidence of the various attempts at proving eligibility must be contained in the client file, including a notarized statement signed by the client indicating that the client has no other proof of income.
6. All documents used to determine income eligibility must be uploaded to Hancock.

Proof of Property Ownership

A. Client Owned/Occupied Dwelling Units

1. A client who owns his/her own dwelling unit must provide proof of ownership and occupancy.
2. Ownership Verification: Ownership must be verified and documented by any means available, examples include:
 - i. Photocopy of the deed or Mobile Home Title
 - ii. The deed number and page number found in the deed book
 - iii. Copy of the real estate tax bill
 - iv. Mortgage bill that includes the client's name and property address
 - v. Copy of water or sewer bill if it has been determined that the bill is sent to owners only
 - vi. Verification through the County Recorder of Deeds
 - vii. Verification through a government sponsored online source

B. Rental Occupied Dwelling Units

1. Subgrantees must establish procedures to meet the requirements in 10 CFR 440.22.
 - i. Weatherization services conducted on rental units, including units where tenants pay for their energy through their rent must primarily benefit tenants who can qualify as eligible clients.
 - ii. No undue or excessive enhancement shall occur to the value of the dwelling unit.
 - iii. Weatherization of eligible multi-unit buildings needs to demonstrate in detail that the benefits of the weatherization work accrue primarily to the eligible tenants
 - iv. Rent
 - a. A client who does not own his/her own dwelling unit (that is, a client who is a tenant) must provide proof of the amount of rent he/she pays monthly.

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1. Clients must prove their monthly rent by providing subgrantees with at least one of the following:
 - i. Canceled rent checks that clearly indicate the checks are for monthly rent;
 - ii. A lease that clearly indicates the amount of monthly rent;
 - iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).
2. Tenants who refuse to provide this information must be deferred.
3. The Client's File must contain the amount and proof of monthly rent.
4. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on the rental unit primarily benefit the eligible client.
 - i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.
 - ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.
 - iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for determining that weatherization services primarily benefit the eligible client.
- v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.
- vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agency and tenant to ensure that:
 - a. The client is current with all rent due to the landlord; and
 - b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.
 - c. There is a process for tenants and landlords to follow if rent or eviction issues arise due to weatherization assistance.
- vii. The Landlord/Tenant Agreement may include a provision for the sale of a property, below is some sample language:
 - a. Landlord cannot sell the property for 18 months after weatherization is complete (unless there is repayment of the DOE investment and/or the new owner assumes and agrees to abide by the terms of the WAP restrictions/requirements) nor can they determine an alternate purpose for the property (e.g., no longer participate in affordable housing programs).

C. Buildings Containing Multiple Rental Dwelling Units

1. For determining eligibility, Multifamily Buildings are defined as those containing 5 or more units or certain buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic and/or basements
2. The entire building may be weatherized if at least 66% (50% for duplexes and four unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
3. When appropriate PA will implement the HUD/DOE eligibility certification process described in WPN 22-5 and utilize the USDA lists found in WAP Memo 99.
4. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.

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6. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.

D. Documentation of Eligibility of Rental Dwelling Units

1. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.
2. Landlord Information: the name, address, and phone number of a client's landlord must be documented in software system in the "Landlord Information" section of the "Client Information" tab.
3. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within the software system. For example, "1234 Main St" should be consistently entered into software system as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 1. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's software system "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in the software system.

Client Appeals & Complaints Process for Client Owned and Rental Properties

- A. The Client Appeals Process must indicate that it was given to the client at the time of application and must have a client signoff.
- B. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Appeals Process, and the signoff must indicate that the client has received and understands the Client Appeals Process.
- C. The Client Appeals Process must present a clear order in which the client may appeal any weatherization services based decision or action with which the client disagrees.
- D. Except for the Center for Community Services' contact, the Client Appeals Process must contain the name, mailing address, phone number, and email address of all individuals or offices listed.
- E. The Client Appeals Process must detail that the Center for Community Services may only be contacted in writing and must include the office and the address by which that office should be contacted. The client appeal submission to the Center for Community Services must include details regarding the agency's involvement and responses to the client appeal. The Client Appeals Process must not include the phone number or email address of the Center for Community Services staff.
- F. Client Complaint Process
 1. Agency is responsible for developing a Client Complaint process to be followed if client is not happy with the quality of the work, workmanship, or serviceability. This process may be included as part of the Client Appeals Process if it is clear that client understands that they can not only appeal a decision but also file a complaint about the work, workmanship and/or serviceability.
 2. The Client Complaint Process must indicate that it was given to the client at the time of application and must have a client signoff.
 3. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Complaint Process, and the signoff must indicate that the client has received and understands the Client Complaint Process.
 4. Although all client complaints must be documented in the individual file, client complaints must also be tracked by date to resolution in an Excel tracking system or one in which all complaints can be reviewed in one place.

Proof of Identity

A. Verification of Identity

1. Subgrantees must use Photo ID to verify the identity of all clients. Acceptable Photo ID types include (but not limited to):

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- i. Drivers Licenses or other state photo identity cards issued by the PA Department of Motor Vehicles (or equivalent)
 - ii. U.S. passport
 - iii. U.S. passport card
 - iv. U.S. Military ID (active duty or retired military and their dependents, and Department of Defense civilians)
 - v. Permanent Resident Card
 - vi. A Native American Tribal Photo ID
2. If no Photo ID is available, there must be documentation supporting the client's reason for no ID and client must sign self declaration.
3. Subgrantees must verify that the client's Photo ID matches both the client and the client's name on the application for weatherization.
- i. Photo ID verification must occur at the time of the audit.
 - ii. Clients must be physically present during the audit.
4. Documentation of Photo ID
- i. Subgrantees must document in the Client File the Photo ID type and number on the client's Photo ID.
 - ii. Subgrantees must document in the Client File that the Photo ID matches both the client and the client's name on the application.
 - iii. Clients who are unable to verify their identity through an acceptable Photo ID must self declare their identity with a signed statement. No weatherization services may occur at a home until an eligible client provides adequate and matching Photo ID or a signed statement explaining that the client does not have Photo ID but that the client is the one who applied for the weatherization services and are a resident of the home.
- B. For lawfully admitted non-citizens, if Photo ID is unavailable, self- declaration, as defined above, is still required and in addition, the following documents may be acceptable for proof of identity:
- i. Social Security Card (please note numbers must be redacted if uploaded in software system)
 - ii. 2 proofs of home ownership or tenancy, based on previously listed in section above
 - iii. One of the following: • I-551 permanent resident card (Green Card) • Passport with the I-551 stamp • Machine readable immigrant visa • Re-entry Permit I-327
1. For more information regarding acceptable documents based on immigration status, please go to this link:
[List A Documents That Establish Identity and Employment Authorization | USCIS](#)
-
3. Social Security Number
- 1. Because of their confidential nature, subgrantees must make every effort to protect the security of all collected Social Security numbers.
 - 2. Subgrantees will not enter Social Security Numbers (SSN) in the system under any circumstances. Subgrantees will review all documents for SSN and redact any SSN before uploading into the software system.

Describe what household eligibility basis will be used in the Program

Eligibility Determination

A. A household is eligible for weatherization services only if:

- 1. A person living within the dwelling unit, regardless of age, has received cash assistance payments under Title IV or XVI of the Social Security Act, LIHEAP Block Grant, means-tested HUD program or home was listed in HUD or USDA lists or spreadsheets as listed in WPN 22-5 or WAP Memo

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99 at any time during the 12-month period preceding the Eligibility Determination for weatherization assistance ; or

2. The total annual income of all occupants living together within the dwelling unit is at or below 200 percent of the Federal Poverty Income Guidelines (FPIGs) as established by the US Department of Health and Human Services Office of Management and Budget for the 12-month period preceding the Eligibility Determination.
 - i. The FPIGs are generally updated once a year at the beginning of the calendar year.
 - ii. The current version can be found at: <https://aspe.hhs.gov/poverty-guidelines>
 - iii. Subgrantees are responsible for updating the FPIGs they have on record as often as they are updated on the website of the U.S. Department of Health and Human Services.
 - iv. Income Eligibility is calculated using income of the prior 12 months for all occupants residing in the dwelling unit. W2's should be used to obtain the income information along with any other documentation needed to record the entire income during the period examined. When reviewing a W-2, the Earnings Summary should also be reviewed to confirm the gross earned income amount before any elective deferrals.
 - v. Regardless of when a person begins occupying a client's dwelling unit, the income of all persons occupying the dwelling unit at the time of Eligibility Determination must be included for the entire previous twelve months.
3. Eligibility by Title IV or XVI of the Social Security Act
 - i. Title IV of the Social Security Act refers to Temporary Assistance for Needy Families (TANF) while Title XVI of the Social Security Act refers to Supplemental Security Income (SSI).
 - ii. Eligibility under TANF or SSI is automatic, regardless of the age of the recipient and income verification is not necessary, but proof of eligibility must be documented.
 - a. Note: Social Security Disability Insurance (SSDI) is covered under Title II of the Social Security Act and is not addressed in 10 CFR 400 or DOE guidance; therefore, SSDI payments are included as income.
4. Eligibility by LIHEAP Block Grant Statute, Title 45:
 - i. Codified in 10 CFR 440.22(a)(3), to allow inclusion of households that are income eligible for the U.S. Department of Health and Human Services' (HHS) Low Income Home Energy Assistance Program (LIHEAP).
5. Eligibility by certain means-tested HUD programs, Title 24:
 - i. As required in in 42 U.S. Code § 6863(b)(3), on October 20, 2021, the Secretary of Energy approved DOE's WAP to extend categorical income eligibility to HUD means- tested programs.
 - ii. For example but not limited to: Community Development Block Grants (CDBG), HOME Investment Partnerships Program (HOME), Lead Hazard Control & Healthy Homes Program(OLHCHH).
 - iii. For agencies choosing to incorporate the means-tested HUD program method, a list of all applicable HUD Programs must be provided during application process.
6. Eligibility based on listing in HUD Public Housing list, or the HUD Assited Multifamily Spreadsheet found in WPN 22-5: [Weatherization Program Notice 22-5: Expansion of Client Eligibility in the Weatherization Assistance Program | Department of Energy](#)
7. Also, for multifamily, eligibility may be based on listing in USDA list found in WAP Memo 99, found at this link: [Weatherization Memorandum 099: Eligible Buildings - US Department of Agriculture Lists | Department of Energy](#)

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

- A. All applicants are U.S. Citizens or Lawfully Admitted Non-Citizen

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- i. PA WAP will abide by section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) – H.R.3734 passed by the 104th Congress, commonly known as the welfare reform law. The act covers larger groups of lawfully admitted non-citizens.
- ii. Lawfully admitted non-citizens are eligible to receive assistance and services under the WAP and LIHEAP programs so long as they meet all other WAP and LIHEAP requirements. Proof of identity is required.
- iii. Subgrantees should refer to H.R. 3734 for guidance on lawfully admitted non-citizens at this link: [H.R.3734 - 104th Congress \(1995-1996\): Personal Responsibility and Work Opportunity Reconciliation Act of 1996 | Congress.gov | Library of Congress](#) and the DCED Directive, Eligibility, Client Prioritization and Weatherization Service List.
- iv. Acceptable eligibility documentation is provided in the Proof of Identity section.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Procedures to determine that units weatherized have eligibility documentation

Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2 to 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
 1. The Property must be the primary residence of the client(s)
 2. All residents must provide proof of income as defined above in Section Client Income Eligibility.
 3. If the property is listed in the HUD Public Housing list which are 100% eligible and found in WPN 22-5, Expansion of the Eligibility in the Weatherization Assistance Program.
 4. The entire building may be weatherized if at least 50% for duplexes and four unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 5. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
 1. Multifamily Buildings are defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic or basements
 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
 3. When appropriate PA will implement the HUD/DOE eligibility certification process described in WPN 22-5. If the property is listed in the HUD Assisted Multifamily Spreadsheet, found in WPN 22-5.
 4. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 6. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Weatherizing of nontraditional type dwellings such as shelters and apartments over businesses will be reviewed on a case by case basis. Please submit request to the DCED main mailbox at rawxmail@pa.gov.

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D. Multifamily units will be reviewed on a case by case basis as well.

1. Please refer to WPN 22-12 Multifamily Weatherization and the FAQs for the definition of multifamily housing. Multifamily is defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic or basements.

Proof of Property Ownership

A. Client Owned/Occupied Dwelling Units

1. A client who owns his/her own dwelling unit must provide proof of ownership and occupancy.
2. Ownership Verification: Ownership must be verified and documented by any means available, examples include:
 - i. Photocopy of the deed or Mobile Home Title
 - ii. The deed number and page number found in the deed book
 - iii. Copy of the real estate tax bill
 - iv. Mortgage bill that includes the client's name and property address
 - v. Copy of water or sewer bill if it has been determined that the bill is sent to owners only
 - vi. Verification through the County Recorder of Deeds
 - vii. Verification through a government sponsored online source

B. Rental Occupied Dwelling Units

1. Subgrantees must establish procedures to meet the requirements in 10 CFR 440.22.
 - i. Weatherization services conducted on rental units, including units where tenants pay for their energy through their rent must primarily benefit tenants who can qualify as eligible clients.
 - ii. No undue or excessive enhancement shall occur to the value of the dwelling unit.
 - iii. Weatherization of eligible multi unit buildings needs to demonstrate in detail that the benefits of the weatherization work accrue primarily to the eligible tenants
 - iv. Rent
 - a. A client who does not own his/her own dwelling unit (that is, a client who is a tenant) must provide proof of the amount of rent he/she pays monthly.
 1. Clients must prove their monthly rent by providing subgrantees with at least one of the following:
 - i. Canceled rent checks that clearly indicate the checks are for monthly rent;
 - ii. A lease that clearly indicates the amount of monthly rent;
 - iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).
 2. Tenants who refuse to provide this information must be deferred.
 3. The Client's File must contain the amount and proof of monthly rent.
 4. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on

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the rental unit primarily benefit the eligible client.

- i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.
 - ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.
 - iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for determining that weatherization services primarily benefit the eligible client.
- v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.
- vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agent and tenant to ensure that:
- a. The client is current with all rent due to the landlord; and
 - b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.

C. Buildings Containing Multiple Rental Dwelling Units

1. For determining eligibility, Multifamily Buildings are defined as those containing 5 or more units or certain buildings with 2 to 4 units with shared heating systems and/or common areas to include shared basements and/or attics
2. The entire building may be weatherized if at least 66% (50% for duplexes and four unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
3. When appropriate PA will implement the HUD/DOE eligibility certification process described in WPN 22-5
4. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
6. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable cost

D. Documentation of Eligibility Rental Dwelling Units

A. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.

1. Landlord Information: the name, address, and phone number of a client's landlord must be documented in Hancock in the "Landlord Information" section of the "Client Information" tab.
2. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within Hancock. For example, "1234 Main St" should be consistently entered into Hancock as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 - ii. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's Hancock "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in Hancock.

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Describe Reweathering compliance

Weatherizing Previously Weatherized Units

- A. Eligibility of Previously Weatherized Dwelling Units is prohibited, except:
- If a previously weatherized dwelling unit has been damaged by fire, flood, or act of God, the event is declared a Federal or State disaster, and repair of the damage to weatherization materials is not paid with insurance, then reweatherization is allowable.
 - i. DCED may provide specific instructions in these cases.
 - ii. When applicable, subgrantees must follow the Department of Energy guidance found in WPN 12-7.
- B. Subgrantees must thoroughly document in the Client File their rationale for providing reweatherization to the client. Such dwelling units must be reported separately as reweatherized units but may be counted as completions.
- The Consolidated Appropriations Act of 2021 amended 42 USC 6865(c)(2) to read as follows:
 - “(2) Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other Federal programs (in this paragraph referred to as ‘previous weatherization’), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other Federal programs, or from receiving non-Federal assistance for weatherization.” Weatherization work conducted with DOE or LIHEAP funds on completed units cannot be conducted again until 15 years after the official completion date.
- C. Such dwelling units must receive a new energy audit that takes into account any previous energy conservation improvements to the dwelling unit.

Describe what structures are eligible for weatherization

PA WAP includes the following structures:

- Owner Occupied Single Family
- Single Family Rental, Site Built
- 2 to 4 unit buildings, with or without shared heating systems and common areas including attics and basements
- Multi Family more than 5 units
- Owner Occupied Manufactured Housing
- Renter Occupied Manufactured Housing
- Row Homes
- Shelters
 - Caution is exercised when dealing with nontraditional type dwelling units such as shelters, apartments over businesses, etc.

Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2 to 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
1. The Property must be the primary residence of the client(s)
 2. All residents must provide proof of income as defined above in Section Client Income Eligibility.
 3. The entire building may be weatherized if at least 50% for duplexes and four unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 4. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
1. Multifamily Buildings are defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic or basements
 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
 3. When appropriate PA will implement the HUD/DOE eligibility certification process described in WPN 22-5
 4. Weatherization services must primarily benefit tenants who can qualify as eligible clients
 5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 6. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.

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- C. Weatherizing of nontraditional type dwellings such as shelters and apartments over businesses will be reviewed on a case by case basis. Please submit request to the DCED main mailbox at rawxmail@pa.gov.
- D. Multifamily units will be reviewed on a case by case basis as well.
 - 1. Please refer to WPN 22-12 Multifamily Weatherization and the FAQs for the definition of multifamily housing. Multifamily is defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic or basements.

WHEN NOT TO WEATHERIZE If any of the following conditions are true for a property at the time of client application or anytime during the weatherization period then the property is not eligible for weatherization services until the condition is resolved. NOTE: If a dwelling unit falls within any of these categories during the weatherization process, all measures started must be completed; however, no new measures will be permitted. The job will be considered deferred. For subgrantees recording of charges, documentation must be kept in the client file to explain the details. When deciding not to weatherize, the agency must follow deferral process as defined in the Health & Safety Plan.

- 1. The property is owned by a bank or other financial entity due to foreclosure
- 2. The property is currently in foreclosure proceedings
- 3. The property is currently for sale or for rent and is unoccupied or the client is moving
- 4. The property is listed for sale or rent to the general public
- 5. The property is scheduled for a sheriff sale
- 6. The structure is condemned or otherwise deemed uninhabitable by federal, state or local authorities.
- 7. The structure is not secured to a permanent foundation and connected to utilities.
- 8. The structure is a camper, recreational vehicle, boat, railroad car, bus or other structure which does not have a mailing address and is designed and constructed as temporary, nonstationary, living quarters.
- 9. A service provider may choose not to weatherize a property under the following conditions:
 - i. There are vermin, unsanitary conditions, or other health and safety problems on the property that present a hazard to the weatherization workers

Compliance with National Historic Preservation Act

A simplified process has been created specifically for the PA Weatherization Program to ensure compliance with the federal law, Section 106 of the National Historic Preservation Act of 1966, as amended. Through the Department's work with the PA State Historical Preservation Office (SHPO), it has been determined that in most instances, weatherization efforts are limited to a narrow list of project activities which have little or no potential to adversely affect historic or archaeological resources. Consequently, a list of NO EFFECT ACTIVITIES has been created which, when followed, will not require individual consultation for weatherization projects.

Although most weatherization projects will have little or no chance to adversely affect historic or archaeological resources and will not require individual review by the SHPO office, certain weatherization activities trigger the need to submit project information to the SHPO office. The following activities, when performed on homes over 50 years old, require consultation:

- 1. Changes to the exterior appearance of a building
 - i. Such as the closing in of windows, doors or porches, removal or covering of decorative trim, covering of wall surfaces with new and different materials, and altering or removal of chimneys. Anytime the completed building will look different from its appearance prior to weatherization treatments, consultation is required.
- 2. Replacement of original, nonplacement windows/doors on facades visible from the street with new modern material (vinyl or aluminum) windows or metal doors.
- 3. Replacement of any window or door with a new window or door of a different size, shape or placement from the original*

*Except for ground level basement or cellar windows

Pennsylvania SHPO Agreement can be found at: <https://www.energy.gov/eere/wipo/historic-preservation-executed-programmatic-agreements>

PA is adding National Environmental Protection Act (NEPA) information and training to our SHPO guidance. Since PA has an approved SHPO Programmatic Agreement, it will be reviewed with the WAP Network as applicable, and training provided as referenced in the following link:

[The National Environmental Policy Act and Historic Preservation Training Website for the Weatherization and Intergovernmental Programs Office | Department of Energy](#)

Describe how Rental Units/Multifamily Buildings will be addressed

For Program Year 23/24, PA will be issuing a Request for Proposals for a multifamily management entity to operate multifamily throughout the state of PA. Although this work will be primarily funded through DOE BIL funds, PA may decide to allocate annual funds to this type of work if the multifamily work

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successfully expands.

A. Subgrantees must establish procedures to meet the requirements in 10 CFR 440.22.

i. Weatherization services conducted on rental units, including units where tenants pay for their energy through their rent must primarily benefit tenants who can qualify as eligible clients.

ii. No undue or excessive enhancement shall occur to the value of the dwelling unit.

iii. Weatherization of eligible multiunit buildings needs to demonstrate in detail that the benefits of the weatherization work accrue primarily to the eligible tenants

iv. Rent

1. A client who does not own his/her own dwelling unit (that is, a client who is a tenant) must provide proof of the amount of rent he/she pays monthly.

2. Clients must prove their monthly rent by providing subgrantees with at least one of the following:

i. Canceled rent checks that clearly indicate the checks are for monthly rent;

ii. A lease that clearly indicates the amount of monthly rent;

iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).

c. Tenants who refuse to provide this information must be deferred.

d. The Client's File must contain the amount and proof of monthly rent.

e. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on the rental unit primarily benefit the eligible client.

i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.

ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.

iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for determining that weatherization services primarily benefit the eligible client.

v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.

vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agent and tenant to ensure that:

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- a. The client is current with all rent due to the landlord; and
- b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.

B. Buildings Containing Multiple Rental Dwelling Units

- 1. For determining eligibility, Multifamily Buildings are defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas
- 2. The entire building may be weatherized if at least 66% (50% for duplexes and four unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
- 3. When appropriate PA will implement the HUD/DOE eligibility certification process described in WPN 22-5 and utilize the USDA lists found in WAP Memo 99
- 4. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
- 5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
- 6. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.

C. Documentation of Eligibility of Rental Dwelling Units

A. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.

- 1. Landlord Information: the name, address, and phone number of a client's landlord must be documented in Hancock in the "Landlord Information" section of the "Client Information" tab.
- 2. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within Hancock. For example, "1234 Main St" should be consistently entered into Hancock as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 - ii. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's Hancock "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in Hancock.

Client Appeals & Complaints Process for Client Owned and Rental Properties

- A. The Client Appeals Process must indicate that it was given to the client at the time of application and must have a client signoff.
- B. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Appeals Process, and the signoff must indicate that the client has received and understands the Client Appeals Process.
- C. The Client Appeals Process must present a clear order in which the client may appeal any weatherization services based decision or action with which the client disagrees.
- D. Except for the Center for Community Services' contact, the Client Appeals Process must contain the name, mailing address, phone number, and email address of all individuals or offices listed.
- E. The Client Appeals Process must detail that the Center for Community Services may only be contacted in writing and must include the office and the address by which that office should be contacted. The client appeal submission to the Center for Community Services must include details regarding the agency's involvement and responses to the client appeal. The Client Appeals Process must not include the phone number or email address of the Center for Community Services staff.
- F. Client Complaint Process
 - a. Agency is responsible for developing a Client Complaint process to be followed if client is not happy with the quality of the work, workmanship, or serviceability. This process may be included with the Client Appeals Process if it is clear that client understands that they can not only appeal a decision but also file a complaint about the work, workmanship and/or serviceability.
 - b. The Client Complaint Process must indicate that it was given to the client at the time of application and must have a client signoff.
 - c. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Complaint Process, and the signoff must indicate that the client has received and understands the Client Complaint Process.
 - d. Although all client complaints must be documented in the individual file, client complaints must also be tracked by date to resolution in an Excel tracking system or one in which all complaints can be reviewed in one place.

Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2 to 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
 - 1. The Property must be the primary residence of the client(s)
 - 2. All residents must provide proof of income as defined above in Section Client Income Eligibility.

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3. The entire building may be weatherized if at least 50% for duplexes and four unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 4. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
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 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
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 5. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 6. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Weatherizing of nontraditional type dwellings such as shelters and apartments over businesses will be reviewed on a case by case basis. Please submit request to the DCED main mailbox at rawxmail@pa.gov.
- D. Multifamily units will be reviewed on a case by case basis as well.
1. Please refer to WPN 22-12 Multifamily Weatherization and the FAQs for the definition of multifamily housing. Multifamily is defined as those containing 5 or more units or buildings with 2 to 4 units with shared heating systems and/or common areas to include shared attic or basements.

Describe the deferral Process

WHEN NOT TO WEATHERIZE If any of the following conditions are true for a property at the time of client application or anytime during the weatherization period then the property is not eligible for weatherization services until the condition is resolved. NOTE: If a dwelling unit falls within any of these categories during the weatherization process, all measures started must be completed; however, no new measures will be permitted. The job will be considered deferred. For subgrantees recording of charges, documentation must be kept in the client file to explain the details. When deciding not to weatherize, the agency must follow deferral process as defined in the Health & Safety Plan.

1. The property is owned by a bank or other financial entity due to foreclosure
2. The property is currently in foreclosure proceedings
3. The property is currently for sale or for rent and is unoccupied or the client is moving
4. The property is listed for sale or rent to the general public
5. The property is scheduled for a sheriff sale
6. The structure is condemned or otherwise deemed uninhabitable by federal, state or local authorities.
7. The structure is not secured to a permanent foundation and connected to utilities.
8. The structure is a camper, recreational vehicle, boat, railroad car, bus or other structure which does not have a mailing address and is designed and constructed as temporary, nonstationary, living quarters.
9. A service provider may choose not to weatherize a property under the following conditions:
 - i. There are vermin, unsanitary, or other health and safety problems on the property that present a hazard to the weatherization workers
 - ii. The client or occupants are physically or verbally abusive.

DOE Weatherization Readiness Program

The DOE Weatherization Readiness amount of \$1,793,546 has been added as a separate budget category in the SF424A Budget.

Please note **neither** the subgrantee T/TA or the Weatherization Readiness funds have been added to the Annual File Agency Allocations, since the WAP Readiness funds, alone, will not produce additional weatherized units. PA plans to allocate the Weatherization Readiness funds to all 34 agencies. However, since the Weatherization Readiness jobs will be counted separately, and will also be weatherization jobs, we chose to not include the funds in the Annual Plan budget information.

Additionally, we will make the subgrantee T/TA funds available to all 34 agencies.

PA has been operating a LIHEAP Deferral program since 2017. Therefore, we had a program and guidelines that we knew worked for such a program. The LIHEAP Deferral Program Guidelines were adjusted for some changes and differences for the use of these Weatherization Readiness funds.

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According to our estimations, these WRF funds will be used to work on approximately 110 units. For the last WAP Readiness program year, at this writing agencies have completed 29 WAP Readiness jobs. We predicted that we would have to preapprove a number of jobs due to the proposed higher costs of the deferral work. So far, we have provided state approval for 7 jobs, about 24%. For this year's funds, we foresee that at least 24% of the units will require DCED approval. Therefore, we will be desk reviewing and pre-approving approximately 24% of these jobs for the deferral work. That review will be added to part of the regular monitoring work/report that is completed by each monitor. The monitoring team will also monitor approximately 10 of the completed deferral and weatherization jobs as part of their regular on-site monitoring. However, the ability to monitor this work is dependent on the timeliness of the work as it is completed.

Below is our general guidance for the operation the DOE Weatherization Readiness Program:

The purpose of the DOE Weatherization Readiness Program is to perform energy related repairs in homes so that units will be in appropriate condition for a weatherization audit to be performed and energy conservation measures installed. These homes must be eligible for the Weatherization Assistance Program (WAP) and must have been deferred for WAP services due to the repair issues that need to be remediated. Once the home has received weatherization services, the projected results include increased energy savings, reduced fuel use and cost, and providing a safe and healthy home environment.

Please note that the DOE Weatherization Readiness and deferral work language used, are interchangeable terms within this guidance.

Limits – In order to perform the deferral work, it should be preliminary assessed that the home could benefit from weatherization services. These funds can be utilized for single family and/or manufactured housing.

Homes for this program have been prioritized based on the PA Priority Point system. The need for deferral is usually discovered during the audit process. During that process, if the home is going to be deferred, the home must be assessed to determine the overall needs and plans to remediate all the deferral issues so that the home can be weatherized.

The amount per home of deferral work can fluctuate and must be considered in relation to the reasons for deferral, the estimated costs to correct, and the overall value of the home. The maximum amount of DOE WAP Readiness funds that can be spent for the deferral work on a unit is \$15,000. If the deferral work needed on the home exceeds that maximum amount, then other funds must be utilized to complete all the deferral work in the home so that weatherization services can be completed. Agencies may utilize, HOME funds, PHARE funds, utility or any other home repair type funds to complete the deferral work.

Weatherization work can be completed with Annual DOE, DOE BIL and/or LIHEAP Standard funds. However, Annual DOE and DOE BIL funds cannot be braided.

If the estimated job cost for deferral work exceeds \$8,500, the Job Number, Total Amount, at least two detailed estimates, and a brief description of the work to be conducted must be submitted for approval to the weatherization resource account at ra-wxmail@pa.gov, prior to starting work.

Within the Annual DOE Budget Workbook, there will be a separate column for the DOE WAP Readiness funds. Allowable budget categories include:

1. Administrative
2. Financial Audit
3. Direct Services including:
 1. Program Support
 2. Program Operations
 - Direct and Subcontract labor
 - Materials
4. Liability Insurance

A Work Plan for this program will include the number of deferred units to be completed and weatherized within the Annual DOE Program Year which will be July 1, 2023 to June 30, 2024 for these funds, although the overall use of these funds has an extended and will be reallocated, as necessary, to ensure expenditure of the entire allocation.

Allowable Activities

Below is a list of activities that are within the parameters of the DOE Weatherization Readiness Program. All activities must have been previously determined as a cause for the home to be deferred, recognizing that there may be multiple reasons for deferral in the home. This list is not all-inclusive.

- Mold Remediation
- Moisture Control

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- Knob & Tube Wiring Issues
- Grading
- Roof Repair
- Roof Replacement
- Gutters, Downspouts, and Runoffs/Drainage System
- Sump Pump Installation
- Pest Control
- Air Exchange Issues
- Radon Testing & Mitigation
- Asbestos Testing & Mitigation
- Lead Paint Testing & Mitigation (beyond the typical scope of WAP work)

Allowable Practices

Allowable activities in the deferral program will be more extensive than what is allowable under normal weatherization health and safety or incidental/ancillary repair work. Deferral work might include, but is not limited to, general repair work for structural issues, plumbing and electrical work, mold and mildew remediation via specialists, and roof repair or replacement.

Hot water heater replacement should only be considered under this deferral program if it is part of other deferral activities.

The agency is responsible to obtain cost estimates for all work required, including local municipality permits, if needed. Any permit or fee should be included in the price of the corresponding measure.

Methods must be those that are used to **correct the issue of all deferral work** and will allow weatherization services to proceed. If additional funds are needed to complete the deferral work, other leveraged funds may be used to complete deferral work. All funds used in the unit must be documented and tracked. You will be required to track all deferred units in the DOE Tracking and Deferral Spreadsheet but additional information may be required for the WRP jobs.

Client Education regarding the deferral work and weatherization work must be provided during all stages of the job.

Case-by-Case Practices

Approval from DCED must be obtained for the following methods on a case-by-case basis:

- Heating System Replacement
 - Examples of reasons for allowing this might be that the household does not qualify for Crisis or the agency has exceeded their health and safety limit.
- Gas Range Replacement
 - Examples of reasons for allowing this might be that the CO level is exceeded, or the agency has exceeded their health and safety limit for gas range work.
- Miscellaneous
 - Any proposed deferral work which is not listed in the prescribed list of deferral measures within these guidelines and is planned because the agency has exceeded their health and safety limit.

V.1.3 Definition of Children

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

V.1.4 Approach to Tribal Organizations

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

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

The Department has chosen to provide weatherization services to the low-income persons of tribal organizations via its existing network of sub grantees. Low income members of tribal organizations will receive benefits equivalent to the assistance provided to other low income persons

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within the state.

V.2 Selection of Areas to Be Served

PA WAP serves the entire state of Pennsylvania. There are subgrantees who are each assigned service areas, which includes all counties, cities and areas of the state.

- A. As required by the Federal Register, Section 440.15, all current subgrantees have experience in dealing with, identification of, and service to, the low income population of their respective areas.
- B. All current Weatherization Program subgrantees have been presented in the plan and announced at the public hearing for public comment.
- C. In the event that an agency chooses to stop providing weatherization services, or funding is at risk due to performance issues which cannot be resolved in a timely manner and in order to utilize the funds in the specific area they were allocated for, the Department has, and will continue, to give preference to any Community Action Agency or other public or nonprofit agency which has or is currently administering an effective program under the Weatherization Assistance Act or the Community Services Block Grant Act of 1981 in order to provide continuity of services.
- D. Any future **new** Weatherization Program subgrantees will be selected and announced at a public hearing conducted by the Department.
- E. Criteria used in the selection of new subgrantees include, but are not limited to:
 - a. The subgrantee's experience and performance in weatherization type activities or housing renovation activities
 - b. The grantee's experience in assisting low income persons in the areas to be served
 - c. The sub grantee's capacity to undertake a timely and effective program

In the decision to continue any subgrantee's participation in the Weatherization Program, the Department will take into consideration the extent to which that agency achieved or is achieving weatherization goals in a timely fashion, quality of work performed, and the numbers, qualification, and experience of the subgrantee's staff members. In addition, the ability of the current subgrantees to secure volunteers, training participants, public service employment workers, and other federal/state training programs is also considered.

- A. Types of Subgrantees:
 - a. Community Action Agencies
 - b. City Government Agencies
 - c. County Government Agencies
 - d. Local Housing Authorities
 - e. Local Redevelopment Authorities
 - f. Other Non Profit Agencies

V.3 Priorities

Client Prioritization

A. All eligible clients must be prioritized according to the Priority Points System.

- 1. Priority Points System
- 2. Except when specifically instructed by DCED, subgrantees must prioritize clients for weatherization services according to their number of priority points: those clients receiving a greater number of points must receive service prior to those clients receiving a fewer number of points.
 - i. Exceptions to the Priority Points System
 - 1. DCED may at times provide subgrantees with instructions to divert from the priority points system, especially for specific funding streams.
 - 2. For multifamily, since the Department is allocating a specific amount of funds for multifamily work, the priority requirements will be waived so that building can be addressed with the "whole building as a system" approach. At least one client/unit in the building should be classified as a "priority client" but does not have to be prioritized in the Weatherization Service List.
 - 3. For example: DCED may request that subgrantees utilize LIHEAP weatherization funds to weatherize only LIHEAP Crisis clients. In this case, Crisis clients would be given priority over non Crisis clients but would still be prioritized and compared to one another according to this Priority Points System, unless otherwise directed by DCED.
 - ii. As per The Client File Directive, clients must be prioritized through Hancock Software system and the result of their prioritization must be contained within Hancock.
 - iii. The Priority Points System is guided by the Priority Points Matrix:

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Category	WAP Client Priority Points
Age	<ul style="list-style-type: none">• 4 pts for households with any member under 19 years of age• 4 pts for households with any member over 60 years of age
Disability	<ul style="list-style-type: none">• 5 pts for households with any member(s) who are "Persons with Disabilities", as defined in 10 CFR 440.3
High Use	<ul style="list-style-type: none">• 15 pts for whose previous calendar year energy use of gas or electric exceeds:<ul style="list-style-type: none">• 9,000 kWh for electricity• 100 MCF of natural gas• 15 pts for any household who for the previous calendar year had one of the listed fuels as their primary or secondary heat source: <p align="center">Oil Wood Wood Pellets Propane Coal Kerosene Other</p>• 3 pts for households receiving utility leveraged funds for weatherization measures coordinated in unit• 3 pts for households receiving nonutility leveraged funds for weatherization measures coordinated in unit
High Burden	<ul style="list-style-type: none">• 10 pts for households with high energy burden (households' overall energy costs are equal to or greater than 10% of a household's annual income)• 20 pts for households with high energy burden (households' overall energy costs are equal to or greater than 25% of a household's annual income)• 3 pts for households participating in a utility's Customer Assistance Program (CAP) or receiving a LIHEAP grant within the last 12 months

The Weatherization Service List

A. Definition

1. The Weatherization Service List, which in Department of Energy terms is called the waiting list serves as the list of all individuals who meet all of the following conditions:
 - i. Have applied for weatherization services;
 - ii. Have been entered into Hancock Software System;
 - iii. Have been found to be eligible for weatherization services as defined in previous sections
 - iv. Have been prioritized for weatherization services.
2. The Weatherization Service List should only contain clients for whom the subgrantee believes it can actually provide weatherization services with the assigned year's funding.
3. Individuals who do not meet all of these conditions are not considered to be on the Weatherization Service List.

B. Creating and Managing the Weatherization Service List

1. Within the confines of creating a reasonably sized Weatherization Service List, subgrantees should engage in broad community outreach efforts to publicize their weatherization program as needed. Subgrantees are reminded that LIHEAP Crisis clients whose homes have not been weatherized yet should be added to a Request for Service list of potential WAP clients.
2. Subgrantees must determine eligibility for weatherization services of potential clients. Clients deemed eligible may be added to the Weatherization Service List. This eligibility determination is valid for 12 months from the date of final determination.
3. A subgrantee may not create a Weatherization Service List that contains more clients than are reasonably necessary to conduct weatherization services without running out of clients or funding.
4. It may be necessary for subgrantees to maintain a separate list of weatherization inquiries or potentially eligible applicants to contact once their Weatherization Service List/waiting list has been depleted. This should be maintained as a Request for Service List.
5. The Request for Service List should document the client name, phone number, address and date of inquiry.

V.4 Climatic Conditions

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According to the PA Energy Code which cites the International Residential Code (IRC) and the International Energy Conservation Code (IECC), found at this website: <https://paenergycode.com/envelope/default.html>, PA is divided into three climate zones used to apply insulation and fenestration requirements. North PA is Zone 6, Central PA is Zone 5 and Southeast PA is in Zone 4.

PA used a website called weatherdatadepot.com to review and update changes to the state's Heating Degree Days by county. The Heating Degree Day data was reviewed for a 5 year time frame from 2017-2021. We then used that averaged data to create a chart that incorporated the Heating Degree Day data with the 21 PA weather stations. Pennsylvania uses the HEAT Energy Auditing Tool for energy modeling. The chart depicts the coldest area of the state in Bradford, PA at 6921 and the warmest area of state as Philadelphia, PA at 4139. The HEAT Tool is set to utilize 21 weather stations located in close proximity to the areas in which the audits are being conducted. The fuel prices are updated annually as needed based on survey data from each agency. The measure costs are updated via WAP agency auditors based on contractually-negotiated price lists from each WAP agency. A recent review of Heating Degree Day data revealed some changes in the number of heating degree days per county. These updates have been incorporated into the over Agency Allocation Formula and have also been integrated when conducting energy audits due to the use of HEAT as the state's energy modeling tool.

PA Weather Station in Hancock

5 yr. Avg

Allentown	4983
Altoona	5432
Bradford	6921
Butler	5654
Dubois	5989
Erie	5622
Franklin	6257
Harrisburg Capital City	4679
Johnstown	5925
Lancaster	4744
Middletown	4663
Philadelphia	4139
Philadelphia Northeast	

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Pittsburgh International Airport	4139
Pittsburgh	5318
Reading	5318
State College	4998
Washington	5655
Wilkes-Barre	5041
Williamsport	5538
Willow Grove	5439
	5162

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Type of Work to Be Done

The Weatherization Assistance Program is designed to reduce energy consumption of dwellings through the installation of energy conservation measures approved by the Department, based on their savings to investment ratio or cost-effectiveness. Additional measures are approved and selected as incidental repairs necessary for effective installation of the energy conservation measures, to correct an existing health or safety problem or to assure health and safety in conjunction with the installation of the energy conservation measures.

The specific methodologies to accomplish the program measures are based, to an extent, on the condition and design of the dwelling. These methodologies are further directed on individual dwelling units through blower door guided analysis, airsealing, and inspection of the heating system.

Technical Guides and Materials

As indicated in energy audits procedure section below, PA uses of the DOE approved whole house standardized energy audit. The Home Energy Audit Tool (HEAT) developed by Hancock Software, Inc. was approved for use in PA for single family homes by DOE on December 7, 2016 and expired in December 2021. The HEAT audit for manufactured housing expired in February 2022.

PA is planning to transition to the use of the new web-based energy audit tool from Hancock called MINT. Since PA is also transitioning to the cloud-based Hancock software system, the use of the MINT audit tool will coordinate with the cloud-based software system.

All work will be consistent with the energy audit, the NREL Standard Work Specifications (SWS), and approved 2021 Pennsylvania SWS Field Guide. In addition, all subgrantees are required to meet the PA SWS Field Manual standards, which include the approved WAP materials, as listed in Appendix A in accordance with WPN 23-6.

PA requested and received DOE approval on July 15, 2019 to use the following materials in addition to Appendix A:

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- Refrigerators (Energy Star)
- Spray Applied Foam (insulation)
- LED lamps and fixtures (Energy Star)

As part of the PA Energy Audit approval process, PA plans to request approval for the continued of the above-named materials.

An electronic copy of the most recent PA SWS Field Guide can be found at this link within the Weatherization SharePoint site, which can only be accessed by the weatherization network:

<https://collab.pa.gov/dced/weatherization>

The PA SWS Field Guide can also be found at the link below from Clean Energy Center:

<https://www.pct.edu/business/clean-energy/pa-weatherization>

All Weatherization work performed in PA WAP will adhere to the Standard Work Specifications (SWS) for Home Energy Upgrades for Single Family, Mobile and/or Manufactured Homes. In the event that multifamily work is performed, it will adhere to the Multifamily SWS. These SWS have been adjusted to align with PA standards in the PA SWS Field Guide. The Department will continue collecting data on any other variances and will submit those requests as required. Other requirements are provided via WAP Directives available at the WAP SharePoint Site, for which access is required for every agency.

All Weatherization work performed in PA WAP by direct hires of the PA WAP network as well as any subcontractor work adheres to the SWS's for Home Energy Upgrades for Single Family, Multifamily, Mobile and/or Manufactured Homes, and as such, will be noted in the contractual requirements between the PA WAP agencies and their subcontractors. The PA WAP agencies and their subcontractor's signatures on the contracts signifies agreement and compliance with all the requirements.

All weatherization work must adhere to the PA SWS Field Guide as well as the NREL SWS Requirements. All subgrantee contracts and their subcontracts must contain language which:

1. Ensures that all technical requirements such as audits, testing, installation, and inspections are provided, and signatures are obtained from all subcontractors and direct hire staff
2. Work quality standards align with the SWS
3. Every home is inspected and complies with the SWS

PA requires a standardized whole house energy audit on every unit. In addition, the PA SWS Field Guide has been updated to include the SWS for the most common measures performed in PA and is coupled with Pennsylvania's state specific guidance regarding policy and technical program requirements. All PA WAP weatherization workers are required to use PA's SWS Field Guide on the jobsite to reference the desired outcome of specific tasks as well as to ensure the installed measures are 100% compliant with the SWS. The SWS online tool is referenced in the PA SWS Field Guide and should be utilized for guidance on the SWS's that may not be addressed in the Field Guide.

As PA considers the transition to a new energy audit tool, webinars and trainings will be conducted.

Full implementation of the certified Quality Control Inspections (QCI) occurred July 1, 2015. PA's Interstate Renewable Energy Council (IREC) accredited training center, Clean Energy Center, has continued to provide the IREC-accredited Quality Control Inspection training. The requirement for monitoring of units by the Department monitors will be 5% or 75 units during program year 2023/24. PA monitors 5% because we follow the Independent QCI rule from WPN 22-4: When the Subgrantee's QCI performs only the final quality control inspection, the Grantee must perform reviews of at least 5 percent of each Subgrantee's completed weatherized units (with DOE funds) using an independent QCI. All the Department monitors are QCI certified. The QCI certification is also a requirement for all new monitors. To meet PA's needs and avoid all conflicts of interest, a QCI is an individual that has no involvement in the prior work of the home.

The Department's Monitors will be quality control inspecting and overseeing the work of the subgrantee QCIs by performing technical on-site visits at each agency. For jobs that have been reported in the Hancock Software System (HS) as complete and do not pass the Department's QC inspection, the Department will coordinate with the agency responsible for the work and allow them the chance to go back and correct the problem. The agency will be responsible for making sure the unit meets standard work specifications and that it will pass a final departmental inspection. If there are cases where the issue cannot be corrected or the timing is such that the corrections cannot be made within the funding release limits, the agency will be charged with disallowed costs and funds will be returned to the Department.

The opportunity to work with the agency and the Quality Control Inspector to fix the issues with DOE funds, will allow the Department to evaluate the QCI process and develop a plan for the continuing implementation of QCI process and quality failures. In addition, if specific Quality Control Inspectors are found to be performing poorly, there will be consequences based on the number of failed inspections and severity of the deficiency.

Field guide types approval dates

Single-Family: 8/9/2021
Manufactured Housing: 8/9/2021

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Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: HEAT
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: HEAT
Approval Date:

Audit Procedure: Multi-Family
Audit Name:
Approval Date:

Comments

For audit determination the following definitions apply to the different types of buildings:

- 1 unit is a single-family unit
- 2 to 4 units is a separate building type but are considered single family units for auditing purposes, unless they have shared heating systems and/or common areas to include shared attics and basements
- 5 units or over or certain 2 to 4 unit buildings with shared heating systems and/or common areas including shared attics or basements are multifamily units but the prescribed audit will depend on the specific building characteristics

As of February 1, 2017, Hancock Energy Audit Tool (HEAT) became the Standardized Full House Audit which must be used for all single-family unit audits conducted on or after that date.

The HEAT audit tool for manufactured/mobile homes is effective for all audits conducted on or after January 1, 2018.

Although PA's energy audit tool has expired, the PA WAP Network continues to utilize HEAT as our whole house standardized energy audit. The Home Energy Audit Tool (HEAT) developed by Hancock Software, Inc. was approved for use in PA by DOE on December 7, 2016 and expired in 2021 for single family and in 2022 for manufactured housing.

PA has communicated with DOE and the WAP Network about software management tool plans and the consideration which was given to adopting the use of the WAP Assistant Suite of Audit Tools developed by ORNL. There were delays in obtaining an application program interface (API) for the WAP Assistant Suite of Audit Tools with a WAP data management software which was in development. Additionally, the WAP data management software project became too difficult to develop for many reasons.

We have developed a tentative timeline for our current Energy Audit Tool approval process:

Timeline for energy audit approval based on state's transition to the Hancock Cloud Based system. This timeline is under review based on the fact that there are delays with data migration and testing. PA is currently adjusting this timeline to allow for more thorough testing of the system. Under an adjusted timeline, PA would request to upgrade the HEAT tool to the most recent version and allow for longer training time and transition to MINT in the Hancock cloud.

1. June – September 2022: Work with Hancock and state IT staff to seek approval to use a cloud-based software system for PA WAP. Legal, procurement and Office of Administration involved with official cloud-use case approval.

2. We held meetings with Hancock to review details of HEAT changes

3. The PA Hancock Cloud Use case is approved but contract and security requirement details are still under negotiation and approval

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4. September – November 2022: Discussions with Hancock regarding data migration
5. November – December 2022: Work with Hancock on entering jobs into new HEAT Staging Sites and review Energy Savings Reports – this is partially completed but delayed due to issues with MINT availability and download at the state as well as time to resolve quality assurance issues
6. January – March 2023: Data migration of Hancock data into new version
7. April-May 2023: Submission of HEAT/MINT Approval request to DOE
8. February – April 2023: Feature Review and User Acceptance testing for Hancock software
9. May – June 2023: Training on Hancock Software and MINT Audit Tool- State staff will be trained, and this may take longer depending on WAP Network and auditor responses.
10. July 2023: Go Live date for cloud- based Hancock Software and MINT Audit Tools for single family and manufactured housing

PA may request the approval from DOE to use MINT but we will not fully transition to its use by the WAP Network without appropriate testing and training.

Regarding manufactured/mobile homes, they are defined as having a steel foundation frame and they are governed by Housing and Urban Development (HUD) code. HEAT for manufactured/mobile homes should be utilized. For modular homes which are defined as being factory built but constructed to meet site-built single family standards, HEAT for single family should be utilized.

For Multifamily, there will be circumstances that HEAT for single family homes will be appropriate. PA plans to be approved to use the TREAT or MulTEA multifamily audit tool and also the use of HEAT for some multifamily units which have their own individual heating units such as garden apartments. The tool to use will be determined by the characteristics of the multifamily unit and based upon DOE approval.

Currently, when a multifamily project is being considered, the subgrantees must submit the necessary materials, such as engineering assessments, audit inputs/outputs, for approval of the multifamily project prior to commencing the weatherization. This information will be submitted to PA DOE's Project Officer with the TREAT or MulTEA audit for review on a case by case basis.

PA has continued to take steps during the last several years to conduct multifamily WAP. Procedures and processes continue to be in development, but PA is moving towards using a different multifamily audit tool because we have had problems with the TREAT Tool and getting additional support and training. DCED staff, Clean Energy Center training center and auditors from four agencies were trained and certified as multifamily QC's on September 26 28, 2017. In June 2018, TREAT training was provided via online courses and webinars. In March 2019, a multifamily roundtable meeting was held to discuss common issues, setting realistic timelines, guidance, and the roles and responsibilities in the multifamily implementation process.

Over the 2019 and 2020 program years, DCED with the assistance of Clean Energy Center worked closely with two specific agencies on two multifamily projects. Only one project moved forward to DOE for approval and was completed.

If PA continues to move forward with working with the current WAP Network, although that submission utilized the TREAT audit, we will be exploring the use of the MulTEA audit tool for future submissions and a possible request for DOE approval for our multifamily audit tool.

However, our current plan is to issue an RFP for a statewide multifamily service provider. Although we plan to utilize DOE BIL funds for the multifamily work, we may consider the use of Annual funds.

Upon DOE approval of an energy modeling tool, PA will be submitting a request for approval for fuel switching process to be approved based on WPN 23-6.

V.5.3 Final Inspection

All weatherization work must adhere to the PA SWS Field Guide as well as the NREL SWS Requirements. All subgrantee contracts and their subcontracts must contain language which:

1. Ensures that all technical requirements such as audits, testing, installation, and inspections are provided and signatures obtained from all subcontractors and direct hire staff
2. Work quality standards align with the SWS
3. Every home is inspected and complies with the SWS

Quality Control Inspections are required for all units. PA's IREC accredited training center, Clean Energy Center, has offered both training and testing since March 2014 to qualified individuals. The requirement for monitoring of units by the Department monitors will be 5% or 75 units during program year 2023/2024. PA

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monitors 5% because we follow the Independent QCI rule from WPN 22-4: When the Subgrantee's QCI performs only the final quality control inspection, the Grantee must perform reviews of at least 5 percent of each Subgrantee's completed weatherized units (with DOE funds) using an independent state QCI.

To meet PA's needs and avoid all conflicts of interest, a QCI conducting inspections is an individual that has no involvement in the prior work of the home.

A certified Quality Control Inspector will inspect all units submitted to DOE as complete. The Quality Control Inspection must include a review and verification of the energy audit/model. Additionally, crew and contractor work orders need to demonstrate performance requirements for energy audit. Completion verification from the client will be obtained during an inspection process and this verification will become part of the permanent client file record and will indicate the client's satisfaction with the work performed. Also included is verification that the installed measures were explained to the occupant and that client education was provided.

In accordance with federal regulations 10 CFR 440.16 (g), the Department requires all subgrantees to ensure that each unit submitted as completed to DOE is inspected and certified as to the quality of work performed. The requisite signatures, that of the client and an agency representative, are to verify that the work was completed in accordance with an approved audit, that it was done in a professional manner, and that the client was aware of the work performed on the unit and was satisfied.

The Department's Quality Control Inspectors will be inspecting and overseeing the work of the subgrantee QCIs by performing technical on-site visits at each agency. Jobs that have been reported in Hancock as complete and do not pass the Department's QC inspection, the Department will coordinate with the agency responsible for the work and allow them the chance to go back and correct the problem. The agency will be responsible for making sure the unit meets standard work specifications and that it will pass a final departmental inspection. If there are cases where the issue cannot be corrected, or the timing is such that the corrections cannot be made within the funding release limits, the agency will be charged with disallowed costs and funds will be returned to the Department.

The opportunity to work with the agency and the Quality Control Inspector to fix the issues with DOE funds, will allow the Department to evaluate the QCI process and develop a plan for the continuing implementation of QCI process and quality failures. In addition, if specific subgrantee Quality Control Inspectors are found to be performing poorly or not adhering to the most recent version of the PA SWS Field Guide, there will be consequences based on the number of failed inspections and severity of the deficiency.

DCED's QCI Poor Performance Plan for All QCIs

These rules apply and will be enforced based on the Department's review of the subgrantee Quality Control Inspections. Consequences for poor performance will be based upon number and severity of failures.

Consequences for subgrantee QCI may include:

- Schedule meeting with involved agencies and subgrantee QC Inspector to discuss noncompliance issues
- Mandatory retraining
- 6 month suspension from performing subgrantee QC Inspections
- 12 month suspension from performing subgrantee QC Inspections
- Notification to BPI
- Debarment

The agency that is responsible for hiring the QCI to perform inspections whether it is through direct hire or subcontracted will be accountable for the work performed on the completed unit.

When a subgrantee QCI approves work which is not consistent with the PA standards and PA SWS Field Guide, there will be increased monitoring of the Subgrantee where the inspector is employed/contracted and the procedures for disciplinary action above will apply based on number and severity.

V.6 Weatherization Analysis of Effectiveness

Performance begins with compliance and the focus on categories of quality weatherization production, required reporting, and adherence to the approved DOE state plan.

All Commonwealth employees and specifically, DCED employees have been required to participate in various Diversity Awareness trainings since at least 2016. Courses such as Embracing Diversity, Managing Diversity in the Workplace and Empathy and Active Listening courses are required for Commonwealth employees.

PA DCED is committed to recruiting, employing, training and advancing talented people of any race, color, national origin, ancestry, sex, sexual orientation, sexual identity and expression, marital status, family status, lifestyle, age, culture, religion, military and veteran status, citizenship, or disability. We have a member of the DCED Diversity Committee on every hiring/interview panel. We actively search for a diverse pool of candidates to provide us with a depth of talent, skills and potential to meet our goals in all employment levels of our operation. We celebrate our diversified employee base and appreciate its cooperative power as a means to meet our goals. We are committed to offer opportunities to diverse vendors, suppliers, contractors and other service providers from throughout the state. We require that our subgrantees and their subcontractors practice equal opportunity policies when they deal with others who provide goods or services.

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The Subgrantees' management were required participate in a course called:

Fostering a Climate of Inclusion and Respect in the Workplace which offers to:

- Explore diversity and inclusion strategies and benefits as they relate to the key workplace issues of recruitment and retention.
- Address ways to counteract unconscious bias and create a more welcoming environment where employees feel safe, included, and respected.

As workforce development is continued this year, subgrantees will be encouraged to support people from underrepresented groups in weatherization, advance equity and encourage the inclusion from these groups as part of the workforce.

The WAP Network will be encouraged to utilize disadvantaged community tools to assist in determining areas to focus on to provide weatherization services and also when looking to hire from underserved communities.

Tools to be shared: [SLOPE website](#), [Explore the map - Climate & Economic Justice Screening Tool \(geoplatform.gov\)](#),

[EJScreen: Environmental Justice Screening and Mapping Tool | US EPA](#).

PA encourages participation in studies and evaluations and as such plans to work with WAP Network on confirming that they obtain permission from the WAP residents to collect and utilize data to determine the effectiveness of the program such as energy savings analysis, energy and nonenergy impacts, overall household benefits from weatherization.

In addition, program monitoring will continue to be done and WAP Risk Assessments completed. A risk level will be assigned for each agency. These performance documents are distributed each year to the Weatherization agencies via the DOE State Plan and with each assessment notification. When the monitoring, quality control inspections, and reviews are completed of each agency, they will be notified in writing of their Risk Level and the problem areas identified during the assessment. Agencies will then submit corrective action plans and may be required to attend meetings to discuss further action or attend trainings which will focus on agency issues. The Department will strategically monitor the agencies as related to the assessments of risk, their performance, and the agency's adherence to the completion of their corrective action plans. At any time throughout the program year, new findings can be applied which will raise risk levels, as appropriate. We also base the monitoring and follow up on the type and significance of the deficiencies. In some cases, we require weekly reports, schedule meetings, and would schedule more frequent visits depending on the type of finding. Assessing the risk of the agencies' performance on an ongoing basis promotes better planning and the ability to provide focused guidance and assistance as well as make well informed funding decisions.

As per DOE WPN 20-4 requirements, DCED will notify DOE of waste, fraud, and abuse. Fraud and abuse will constitute the basis of immediate cessation of work and, if appropriate, law enforcement actions.

Risk Assessment Plan

- Agencies are visited at least one time a year for a technical visit. At this visit, QCI Monitoring inspections will be conducted and the Quality Control Checklists reviewed by Department QC Inspectors.
- Agencies will be responsible for reporting units which have been completed and QC inspected no less than weekly. The monitors will schedule visits based on Hancock Software system reports.
- Risk Assessments using the Tool will be conducted at least annually.
- Meetings are held with Center management staff to discuss the annual review of each agency. Pertinent information about each agency is shared and a plan is developed to address any issues and compare best practices to distribute.

Points System

- There are approximately 25 different descriptors/criteria that are measured that fall within the categories of Management/Financial Reporting, Production, Contract Compliance, Inventory, and Quality Control Inspections and Monitoring Results
- Each descriptor is worth a certain amount of points based on the importance of the descriptor/criteria.
- Each agency will start with a score of 100 points and points are subtracted for areas of non-compliance found within each descriptor.
- QCI Inspections will be assessed based on QCI Reports issued.
- For In Progress work that is reviewed by DCED QC Inspectors, if there are any issues or problems which need to be corrected, the agency will lose at least 1 point.
- If there is a DCED QC Inspection completed and all the work cannot be brought into SWS compliance, the agency will lose points/the maximum points for the

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QCI criteria.

- The number of callbacks as well as the number and severity of the issues found during QCI's will be reviewed when determining risk as follows:
 - For completed work, if a callback is required after the agency QCI, the agency may lose point/s based on the severity of the issues requiring the callback/s
 - For completed work, if a callback is required after a DCED QCI, the agency will lose points
- Low Risk: an agency will have a combined total score of 90+ points
- Medium Risk: an agency will have a score that falls at or between 70-89 points
- High Risk: an agency will have a score of 0-69 points

Due Process for Non Compliance

Risk Levels

1. Corrective Action Plans (CAP) will be required for all Levels within 15 business days of receipt of their Risk Assessment. Unless otherwise stated and viable reasons provided, all corrective actions should have resolution date of no more than 90 business days after CAP submission.

2. If an agency reaches Medium Risk:

- i. A meeting or call will be scheduled with them to discuss the issues
- ii. Onsite training will be required, if applicable
- iii. In-progress or more frequent QCIs may be completed may be completed, if applicable
- iv. Funding may be affected if production is an issue

3. If an agency reaches High Risk:

- i. A meeting will be scheduled with them to discuss the issues
- ii. Onsite training will be required, if applicable
- iii. In-progress QCIs or more frequent QCIs must be completed, if QCI issues have been identified
- iv. Funding will be reconsidered quarterly
- v. The possibility of being flagged for a quarter or more until corrective actions are accepted and resolved
- vi. The possibility of invoices not being processed until corrective actions are accepted and resolved

If agency is at Medium or High Risk with unresolved deficiencies and/or there is persistent low performance, when new allocations are being released, the Agency may get 50% of their allocation until all corrective actions are accepted and resolved. In addition, Agencies with persistent low performance may be required to submit a corrective action plan which would include their work with other Weatherization Agencies to get assistance in resolving the persistent or continued issue/s.

If no resolution is possible or criminal activity is alleged, DCED will notify the US DOE of its intent to terminate contractual obligations with the specified subgrantee in its WX agency network and to replace it with another agency, and DCED requests US DOE's approval to amend its WX plan accordingly, pending completion of federal and state due process requirements.

Re-Allocation Plan

The Department will reallocate funds based on the WAP Risk Assessment results as well as performance including meeting production goals over the contract period. For annual DOE allocations, subgrantees who have not met their production goals for the prior year may be awarded 50% or less of their regular allocation. The DOE BIL allocation may also be affected. The subgrantees will receive notification about the reasons for the reduction and the offer of guidance and assistance in resolving the issues. They must provide a specific timeline to meet the required performance criteria and production goals and respond to the Department's offer of guidance and assistance in resolving the issues with specific needs that can be addressed to include a Corrective

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Action Plan and updated Production schedule, as appropriate.

Prior to reducing the final annual or DOE BIL funding level of any subgrantee, as a consequence of inadequate performance, the Department shall provide in writing to the subgrantee the specific reasons for the final funding reduction for the program year. PA has implemented a risk and performance-based allocation which is driven by a review of subgrantees' production, work quality, compliance and reporting. The Risk Level and due process for non-compliance requirements are distributed via this DOE state plan and to each agency when they are notified of their Risk Assessment results.

The benefits to this approach include:

Allocating additional funding to agencies demonstrating success in administering their annual allocations reflects the focus on quality and volume of work improving the Weatherization Program.

- Reallocation of funding will ensure the increased efficiency and effectiveness of the program
- Successful agencies will better maintain their current workforce
- Competition will encourage exceptional performance of the agencies within the Weatherization Program

During the reallocation process, all agencies receiving additional funds will be asked for a specific plan to ensure that their allocation will be used to advance the program goals. If an agency does not provide an acceptable plan to effectively use the additional funds, the funds will not be allocated to that agency. Furthermore, if the Agency does not want additional funds they will not be required to accept the funds.

DCED's QCI Poor Performance Plan for All QCIs

These rules apply and will be enforced based on the Department's review of all Quality Control Inspections. Consequences for poor performance will be based upon number and severity of failures.

Consequences for all QCI may include:

- Schedule meeting with involved agencies and QC Inspector to discuss noncompliance issues
- Mandatory retraining
- 6 month suspension from performing QC Inspections
- 12 month suspension from performing QC Inspections
- Notification to BPI
- Debarment

The agency that is responsible for hiring the QCI to perform inspections whether it is through direct hire or subcontracted will be accountable for the work performed on the completed unit.

When a QCI approves work which is not consistent with the PA standards and PA SWS Field Guide, there will be increased monitoring of the Subgrantee where the inspector is employed/contracted and the procedures for disciplinary action above will apply based on number and severity.

Utility Data Sharing

DCED and the Public Utility Commission (PUC) have agreed, pursuant to a memorandum of understanding, to share data and analyses of the two agencies' weatherization programs. This will allow for additional analysis in conjunction with PUC's oversight of the Act 129 low income programs.

V.7 Health and Safety

Plan is attached in SF-424

V.8 Program Management

V.8.1 Overview and Organization

The Pennsylvania Weatherization Assistance Program is administered through the Department of Community and Economic Development. The Secretary of

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the Department as the designee of the Governor, applies for, receives and administers the weatherization funds. The day to day operation of the weatherization program is managed through the Department's Whole Home Repairs and Weatherization Assistance Programs Office. In addition to the Whole Home Repairs and Weatherization Assistance Programs Office, the Office of Administration and Management is responsible for budgetary oversight and contract development and processing. The DCED Financial Management Center is responsible for the annual financial reviews of the subgrantees. In addition to administration of the program within the Department, the Office of Budget, Comptroller Operations office is responsible for final approval of subgrantee contracts, approval of payments to subgrantees, and fiscal reporting to the Department of Energy.

Department of Environmental Protection (DEP) houses the State Energy Program. They are represented on the PAC and we frequently meet with DEP Staff to collaborate on issues.

CENTER FOR COMMUNITY SERVICES

Executive Section

Director – Serves as the Director of the Whole Home Repairs and Weatherization Assistance Programs Office, responsible for directing all office operations/projects and has authority to direct staff consistent with office policies and practices, with specific responsibility for:

- o Administrative Budget Oversight
- o Coordination with DOE, GAO and other partners
- o Implementation/Oversight of projects and office functions
- o Consulting Contracts oversight – e.g., PSU

WAP Division and Project Controls/Contract Compliance Section

A WAP Division Chief has been appointed to oversee all WAP Operations. This Section has program level responsibility for performing risk assessments, overseeing all activity reporting to ensure compliance with program performance metrics and recommending corrective, contractually based, action as and when appropriate. They are responsible for developing agency management plan criteria to ensure program compliance with rules and regulations promulgated by duly authorized entities. This Section also participates in the office's executive oversight of all Project Management Division staff and Agencies to ensure consistency in approach, compliance with policies and procedures and assists with the approval of payments working collaboratively with the Financial Management Center specific functions include:

Directing activities on all state plans. Including published for comment, hearing on revisions, responding to comments and submission to DOE

- o Wx Training
- o Contract collaboration and monitoring
- o Conduct Risk Assessments of all agencies
- o Manages all communications with agencies to ensure agency compliance (or lack thereof) with their contractual obligations is documented
- o Establish agency management plan criteria
- o Analysis and recommendations of Agency management plans
- o Develop and oversee formation of policy directives for communication to agencies
- o Compliance with DOE regulations,
- o Oversees contract approval and processing,
- o Analysis of agency management plan outcomes, performance, capacity, production data, and field monitoring reports for purposes of determining program compliance.
- o Submit reports to DOE regarding WAP production and contractual obligations

o Oversight of the staff engaged in the management of the Hancock Software System and new WAP software development.

o Partnering with the Clean Energy Center for the establishment of the PA Energy Audit Process and accompanying software tools.

o Promulgating procedures and providing information systems technology that support that support Hancock and the development and implementation of the new WAP software

WAP Monitoring Section

This Section is responsible for the monitoring and Quality Control Inspections of weatherized homes and the assigned subgrantees in accordance with DOE and LIHEAP requirements to ensure that all Agencies meet all contractual obligations and 5% of weatherized homes pass the QCI. Staff members within this

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Section are QCI certified and perform field inspections as well as desk monitoring of work performed by assigned Agencies to ensure Quality Assurance.

- Manages all communications with assigned agencies to ensure agency compliance (or lack thereof) with their contractual obligations is documented
- Energy audit protocols to evaluate the various methodologies
- Supervises field personnel that are monitoring agency field and office operations
- Responsible for ensuring accuracy and timeliness of agency reporting of factual information
- Oversees inspection of a limited number of homes for quality assurance and agency contract compliance
- Implements field controls program for prevention of fraud
- Assesses the need to provide support of the Wx agencies in day-to-day operation of the program to achieve continuous improvement
- Conducts regular communication with all field supervisory personnel to identify trends and problems as well as the strengths and weaknesses of performing agencies in weatherization work.

V.8.2 Administrative Expenditure Limits

Agencies are allowed administrative costs to administer the Weatherization Assistance Program as allocated by the Department. Statewide, subgrantee administrative costs are at least seven and a half percent (7.5%) of the state's allocation to include WAP Readiness funds allocated by formula for each agency.

V.8.3 Monitoring Activities

Monitoring Process

For the monitoring of DOE Standard Weatherization, at least 5% of the completed units will be site inspected utilizing the Quality Control Inspection (QCI) process. PA monitors 5% because we follow the Independent QCI rule from WPN 22-4: When the Subgrantee's QCI performs only the final quality control inspection, the Grantee must perform reviews of at least 5 percent of each Subgrantee's completed weatherized units (with DOE funds) using an independent QCI. All state monitors are required to be certified Quality Control Inspectors. In process units are inspected but not counted towards the 5% of the completed units monitored.

Approximately 20% of the T/TA budget is spent on monitoring activities.

1. Fiscal monitoring, including a review of the Single Audit Reports, of all WAP agencies will be conducted yearly by DCED's Fiscal Management Center utilizing a combination of desk and onsite monitoring. For this past year, due to the Pandemic, the fiscal monitoring has been conducted in the form of desk monitoring.
2. Risk Assessments will be conducted annually (preferably in January) using approximately twenty-five (25) different descriptors/criteria that fall within the categories of Management/Financial Reporting, Production, Contract Compliance, Inventory, and Quality Control Inspections. Each descriptor is measured and weighed, and a risk level will be assigned to each agency at the conclusion of the assessment. If applicable, a corrective action plan will be required.

DCED Monitoring Results/Reports

A. Each monitoring report is reviewed, and a written response generated to the agency within 30 days outlining findings, recommendations, and requests for a follow up response and/or corrective action plan. In addition, any technical issues that require further training or technical assistance will be addressed by scheduling additional technical visits with our QCIs and/or the training center, Clean Energy Center. Ongoing programmatic issues will be addressed in a variety of ways, for example, weekly reports may be required, participation in regional meetings may be required and/or collaboration with other agencies on an issue or specific training may be recommended. All results of both program and financial monitoring are tracked to final resolution. A separate tracking is maintained identifying the date the monitoring letter is mailed and the response due date. If a response is not received by the requested due date, the agency is again notified in writing. Upon receipt, the Agency's response is reviewed, and the agency is notified in writing of the acceptance and closure of the findings, or the request for further follow-up.

Due Process for Noncompliance

- A. Corrective Action Plans (CAP) will be required in response to monitoring findings within 15 days of receipt. Unless otherwise stated and viable reasons provided, all corrective actions should have a resolution date of no more than 90 business days after CAP submission.
- B. Risk Levels
 - a. Corrective Action Plans (CAP) will be required for all Levels within 15 business days of receipt of their Risk Level. Unless otherwise stated and viable reasons provided, all corrective actions should have a resolution date of no more than 90 business days after CAP submission.
 - b. If an agency reaches Medium Risk:
 - i. A meeting will be scheduled with them to discuss the issues
 - ii. Onsite training will be required, if applicable
 - iii. In progress or more frequent QCIs may be completed, if applicable

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- iv. Funding may be affected if production is an issue
- c. If an agency reaches High Risk:
 - i. A meeting will be scheduled with them to discuss the issues
 - ii. Onsite training will be required, if applicable
 - iii. In progress QCIs or more frequent QCIs must be completed, if QCI issues have been identified
 - iv. Funding will be reconsidered quarterly
 - v. The possibility of being flagged for a quarter or more until corrective actions are accepted and resolved
 - vi. The possibility of invoices not being processed until corrective actions are accepted and resolved

If agency is at Medium or High Risk with unresolved deficiencies and/or there is persistent low performance, when new allocations are being released, the Agency may get 50% of their allocation until all corrective actions are accepted and resolved. In addition, Agencies with persistent low performance may be required to submit a corrective action plan which would include their work with other Weatherization Agencies to get assistance in resolving the persistent or continued issue/s.

If no resolution is possible or criminal activity is alleged, DCED will notify the US DOE of its intent to terminate contractual obligations with the specified subgrantee in its WX agency network and to replace it with another agency, and DCED requests US DOE's approval to amend its WX plan accordingly, pending completion of federal and state due process requirements.

B. Re Allocation Plan

The Department will reallocate funds based on the WAP Risk Assessment results as well as performance including meeting production goals over the contract period. For annual DOE allocations, subgrantees who have not met their production goals for the prior year may be awarded 50% or less of their regular allocation. The DOE BIL allocation may also be affected. The subgrantees will receive notification about the reasons for the reduction and the offer of guidance and assistance in resolving the issues. They must provide a specific timeline to meet the required performance criteria and production goals and respond to the Department's offer of guidance and assistance in resolving the issues with specific needs that can be addressed to include a Corrective Action Plan and updated Production schedule, as appropriate.

Prior to reducing the final annual or DOE BIL funding level of any subgrantee, as a consequence of inadequate performance, the Department shall provide in writing to the subgrantee the specific reasons for the final funding reduction for the program year.

PA has implemented a risk and performance-based allocation which is driven by a review of subgrantees' production, work quality, compliance and reporting. The Risk Level and due process for noncompliance requirements are distributed via the DOE state plan and to each agency when they are notified of their Risk Assessment results.

- a. The benefits to this approach include:
 - i. Allocating additional funding to agencies demonstrating success in administering their annual allocations reflects the focus on quality and volume of work improving the Weatherization Program.
 - ii. Reallocation of funding will ensure the increased efficiency and effectiveness of the program.
 - iii. Successful agencies will better maintain their current workforce.
 - iv. Competition will encourage exceptional performance of the agencies within the Weatherization Program.
 - v. During the reallocation process, all agencies receiving additional funds will be asked for a specific plan to ensure that their allocation will be used to advance the program goals. If an agency does not provide an acceptable plan to effectively use the additional funds, the funds will not be allocated to that agency. Furthermore, if the Agency does not want additional funds they will not be required to accept the funds.

DCED's OCI Poor Performance Plan for All OCIs

These rules apply and will be enforced based on the Department's review of all Quality Control Inspections. Consequences for poor performance will be based upon number and severity of failures.

Consequences for all QCI may include:

- Schedule meeting with involved agencies and QC Inspector to discuss noncompliance issues
- Mandatory retraining
- 6 month suspension from performing QC Inspections
- 12 month suspension from performing QC Inspections
- Notification to BPI
- Debarment

The agency that is responsible for hiring the QCI to perform inspections whether it is through direct hire or subcontracted will be accountable for the work performed on the completed unit.

When a QCI approves work which is not consistent with the PA standards and PA SWS Field Guide, there will be increased monitoring of the

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Subgrantee where the inspector is employed/contracted and the procedures for disciplinary action above will apply based on number and severity.

V.8.4 Training and Technical Assistance Approach and Activities

For the State Plan submittal and when it is posted on the DCED website, the finalized Training and Technical Assistance template will be attached.

For this draft, the Training and Technical Assistance Plan includes revised training requirements as presented in attached documentation.

Percent of overall trainings

Comprehensive Trainings:

Specific Trainings:

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

V.9 Energy Crisis and Disaster Plan

The Department limits the use of DOE funds for Energy Crisis Relief or Disaster activities. In the event of a declared Federal or State disaster, weatherization crews are permitted to return to a unit, which was previously reported to DOE as complete, to reweatherize without regard to the date of weatherization if that unit has been "damaged by fire, flood, or act of God." Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if damage to the materials is not covered by insurance or other form of compensation. The limits on incidental repairs and Health and Safety percentages defined in the Health and Safety Plan remain in effect for such work. Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such function and activities include: securing weatherization materials, tools and equipment. Weatherization vehicles and/or equipment may be used to help assist in disaster relief provided that WAP is reimbursed according to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards codified under 2 CFR.

In addition, as part of the weatherization program, beginning in PY 1992/93 and continuing since then, DCED in cooperation with the Department of Human Services (DHS) utilizes a portion of LIHEAP funds to provide emergency heating services as part of the LIHEAP Crisis Program. The Crisis Interface program component operates normally from November through March of each year and is designed to provide services for weather-related emergencies in households without heat or in imminent danger of not having heat. Services such as emergency heating system repair or replacement, loaning auxiliary heaters, and repairing fuel lines are offered. DHS through their county assistance offices identify clients needing Crisis services, determine eligibility, and make referrals to the appropriate weatherization agency for service. The weatherization agency then inspects the dwelling and takes the necessary action to alleviate the crisis. Currently, the weatherization assistance program statewide expends about 70% of the overall LIHEAP funding on crisis activities, which provides Crisis assistance to over 7,000 households annually.