

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0010019		2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law	
3. Name and Address Utah Department of Workforce Services 140 E. 300 S. Salt Lake City, UT 841110000	4. Program/Project Start Date 07/01/2022		
	5. Completion Date 06/30/2027		

**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	\$ 0.00		\$ 21,690,473.00		\$ 21,690,473.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 21,690,473.00	\$ 0.00	\$ 21,690,473.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON	(2) GRANTEE T&TA	(3) SPECIAL PROJECTS I	(4) SUBGRANTEE ADMINISTRATI ON	
a. Personnel	\$ 403,742.00	\$ 403,742.00	\$ 0.00	\$ 0.00	\$ 807,484.00
b. Fringe Benefits	\$ 278,341.00	\$ 278,341.00	\$ 0.00	\$ 0.00	\$ 556,682.00
c. Travel	\$ 23,650.00	\$ 184,770.00	\$ 0.00	\$ 0.00	\$ 208,420.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 20,225.00	\$ 58,718.00	\$ 0.00	\$ 0.00	\$ 78,943.00
f. Contract	\$ 393,166.00	\$ 477,414.00	\$ 750,000.00	\$ 1,626,786.00	\$ 19,023,624.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 507,660.00	\$ 507,660.00	\$ 0.00	\$ 0.00	\$ 1,015,320.00
i. Total Direct Charges	\$ 1,626,784.00	\$ 1,910,645.00	\$ 750,000.00	\$ 1,626,786.00	\$ 21,690,473.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 1,626,784.00	\$ 1,910,645.00	\$ 750,000.00	\$ 1,626,786.00	\$ 21,690,473.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0010019		2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law	
3. Name and Address Utah Department of Workforce Services 140 E. 300 S. Salt Lake City, UT 841110000	4. Program/Project Start Date 07/01/2022		
	5. Completion Date 06/30/2027		

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 21,690,473.00	\$ 0.00	\$ 21,690,473.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SUBGRANTEE T&TA	(2) PROGRAM OPERATIONS	(3) HEALTH AND SAFETY	(4) LIABILITY INSURANCE	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 807,484.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 556,682.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 208,420.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 78,943.00
f. Contract	\$ 1,160,644.00	\$ 10,259,598.00	\$ 4,106,016.00	\$ 250,000.00	\$ 19,023,624.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,015,320.00
i. Total Direct Charges	\$ 1,160,644.00	\$ 10,259,598.00	\$ 4,106,016.00	\$ 250,000.00	\$ 21,690,473.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 1,160,644.00	\$ 10,259,598.00	\$ 4,106,016.00	\$ 250,000.00	\$ 21,690,473.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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WEATHERIZATION ANNUAL FILE WORKSHEET**

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**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Bear River Association of Governments (Logan)	\$1,749,010.00 132
Five County Association of Governments (St. George)	\$1,984,953.00 149
Mountainland Association of Governments (Vineyard)	\$2,810,753.00 210
Salt Lake Community Action Program (Salt Lake City)	\$7,425,691.00 532
Six County Association of Governments (Richfield)	\$1,155,448.00 99
Southeastern Utah Association of Local Governments (Price)	\$1,290,272.00 89
Uintah Basin Association of Governments (Roosevelt)	\$986,917.00 77
<b>Total:</b>	<b>\$17,403,044.00 1,288</b>

**IV.2 WAP Production Schedule**

Weatherization Plans		Units
Total Units (excluding reweatherized)		1,288
Reweatherized Units		0
Average Unit Costs, Units subject to DOE Project Rules		
<b>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	1,288
C	Total Units Reweatherized	0
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	1,288
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<b>AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
F	Total Funds for Program Operations	\$10,259,598.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	1,288
H	Average Program Operations Costs per Unit (F divided by G)	\$7,965.53
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,965.53

**IV.3 Energy Savings**

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	1288	29.3	37738
Prior Year Estimate	477	29.3	13976

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Prior Year Actual	376	29.3	11017
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**Method used to calculate savings description:**

While Utah is using the DOE formula for calculated savings we have been collecting the Audited MmBtu data from each job. Our data indicates that we are lagging behind the DOE average of 29.3MmBtu per unit. The decreasing trend is reflective of the increasing cost to weatherize.

Avg Audited MmBtu Saved

	PY 18	PY 19	PY 20	PY 21
BRAG	39.75	46.7	42.6	29.2
UCA	33.11	33.5	31.8	29.6
MAG	28.36	29.6	22.5	20.9
UBAOG	41.56	37.6	37.2	27.9
SEUALG	26.1	49.2	24.4	45.9
SCAOG	22.42	27.9	27	24.2
FCAOG	21.76	14.7	20.3	15.8
State	31.61	32.3	28.6	26.5

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

**IV.5 Policy Advisory Council Members**

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

Catholic Community Services of Utah	Type of organization: Non-profit (not a financial institution) Contact Name: Monica Rich Phone: (801)977-9119 Email: <a href="mailto:mrich@ccsutah.org">mrich@ccsutah.org</a>
Catholic Community Services of Utah	Type of organization: Non-profit (not a financial institution) Contact Name: Rose Olivas Phone: 8019779119 Email: <a href="mailto:rolivas@ccsutah.org">rolivas@ccsutah.org</a>
Futures Through Training	Type of organization: Non-profit (not a financial institution) Contact Name: Natalie Alejandre Phone: (801)394-9774 Email: <a href="mailto:natalieaftt@aol.com">natalieaftt@aol.com</a>
Housing Authority of the County of Salt Lake	Type of organization: Non-profit (not a financial institution) Contact Name: Kelly Walsh Phone: 8014280588 Email: <a href="mailto:kwalsh@haslcutah.org">kwalsh@haslcutah.org</a>
Mountainland Association of Governments	Type of organization: Local agency Contact Name: Katie Mitchell Phone: 8018749016 Email: <a href="mailto:kmitchell@mountainland.org">kmitchell@mountainland.org</a>
Mountainland Association of Governments	Type of organization: Local agency Contact Name: Heidi Demarco Phone: (801)229-3804 Email: <a href="mailto:hdemarco@mountainland.org">hdemarco@mountainland.org</a>
Questar Gas	Type of organization: Utility Contact Name: Brett Brown Phone: 8013243523 Email: <a href="mailto:brett.brown@dominionenergy.com">brett.brown@dominionenergy.com</a>
Rocky Mountain Power	Type of organization: Utility Contact Name: Stephanie Dobberfuhl Phone: 8019552468 Email: <a href="mailto:Stephanie.Dobberfuhl@pacificorp.com">Stephanie.Dobberfuhl@pacificorp.com</a>

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Salt Lake Cap	Type of organization: Non-profit (not a financial institution) Contact Name: Patrice Dickson Phone: 8017591506 Email: <a href="mailto:pdickson@slcap.org">pdickson@slcap.org</a>
Salt Lake CAP	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Ian Spangenberg Phone: 8012143171 Email: <a href="mailto:ispangenberg@slcap.org">ispangenberg@slcap.org</a>
Salt Lake CAP	Type of organization: Non-profit (not a financial institution) Contact Name: Jennifer Godfrey Phone: 8019771122 Email: <a href="mailto:jgodfrey@slcap.org">jgodfrey@slcap.org</a>
Southeastern Utah Association of Local Government	Type of organization: Unit of Local Government Contact Name: Geri Gamber Phone: 4356130037 Email: <a href="mailto:ggamber@seualg.utah.gov">ggamber@seualg.utah.gov</a>
State Energy Assistance Lifeline	Type of organization: Unit of State Government Contact Name: Sisifo Taatiti Phone: 8014680069 Email: <a href="mailto:staatiti@utah.gov">staatiti@utah.gov</a>
State Energy Assistance Lifeline	Type of organization: Unit of State Government Contact Name: Sheri Kerr Phone: 8014680014 Email: <a href="mailto:sherikerr@utah.gov">sherikerr@utah.gov</a>
United Way of Salt Lake	Type of organization: Non-profit (not a financial institution) Contact Name: Anna Fannesbeck Phone: (801)746-2577 Email: <a href="mailto:anna@uw.org">anna@uw.org</a>
Utah AARP	Type of organization: Non-profit (not a financial institution) Contact Name: Danny Harris Phone: 8015672643 Email: <a href="mailto:DJHarris@aarp.org">DJHarris@aarp.org</a>
Utah Department of Human Services	Type of organization: Unit of State Government Contact Name: Debbie Stark Phone: (801)468-0111 Email: <a href="mailto:dstark@utah.gov">dstark@utah.gov</a>
Utah Division of Public Utilities	Type of organization: Unit of State Government Contact Name: Stefanie Liebert Phone: 8015306285 Email: <a href="mailto:sliebert@utah.gov">sliebert@utah.gov</a>
Utah Housing Coalition	Type of organization: Non-profit (not a financial institution) Contact Name: June Hiatt Phone: 8013640077 Email: <a href="mailto:jhiatt@utahhousing.org">jhiatt@utahhousing.org</a>
Utah Weatherization Assistance Program	Type of organization: Unit of State Government Contact Name: Bradley Carpenter Phone: 8014680134 Email: <a href="mailto:blcarpenter@utah.gov">blcarpenter@utah.gov</a>

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
09/06/2022	Published 8-9-2022 on the Utah Public Notice website Published 8-24-2022 in the Deseret News legal section.

**IV.7 Miscellaneous**

WAP BIL planning creates a unique challenge. Since the enacting legislation allows for expenditure of funds until expended Utah is faced with establishment of a plan that allows for the programmatic and economic changes that will occur over the several years of this funding. The Utah WAP BIL plan works from a basic strategy that will build in flexibility to accommodate these unforeseeable challenges.

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**Utah WAP BIL plan will not be including any projected braiding of non-DOE funds.**

Utah WAP traditionally has worked from a *Braiding of Funds* business model. Since the WAP BIL ACPU and H&S ACPU are fixed for the life of the award there is no ability for a Grantee to compensate for inflation, labor cost increases and program evolution. The traditional DOE annual formula awards have these mechanisms built in.

The Utah WAP BIL plan works from a non-braiding model. This will allow Utah to braid in non-DOE Funds at its convience to maintain regulatory compliance with both the WAP BIL requirements and the regular DOE annual formula award requirements. In budgetary terms we are being asked to run parallel programs and Utah needs this flexibility to accomplish those goals.

This approach will allow Utah to initially maintain the planned braiding for the regular DOE annual formula awards and gradually taper and transition some of those non-DOE funds to be braided into WAP BIL. Since Utah has committed those non-DOE funds to be braided into their current PY-22 regular DOE annual formula award it would negate the PY-22 plan.

Utah WAP is committing that over the life of WAP BIL it will braid in non-DOE funds but that it is not including that in its plan.

Any HCD Staff member charging less than 100% to WAP grant will be paid by other programs such as but not limited to:

LIHEAP, CSBG, CDBG, Single Family Home Rehab, HUD Home Program, State Housing Program

**Policy Advisory Council (PAC)**

To the extent possible, Utah's PAC advocates for and provides a broad representation of 'At-Risk' and 'Low-income' populations such as but not limited to: children, elderly, Persons with Disabilities, and Native Americans

The current members noted in the Annual File section. Utah WAP has struggled in the last several years to keep or grow participation. It has explored trying to use existing advisory councils that might meet the requirements with no success. United Way "owns" the 211 Help Line but has Red Cross run it. They designated Stacey to attend. Michelle Beck is the Director of the Office of Consumer Protection for the State of Utah. They are not a member of the PAC but they advocate for all Utahns on utility and other matters.

PAC reviewed the Utah WAP BIL Weatherization Plan at their meeting.

- One question/comment was received and answered from the representative of AARP, Dan Harris.

Mr. Harris wanted to know if there was going to be WAP BIL funding used for developmental technologies that would detract from homes served.

Brad Carpenter explained that the rules for this funding are the same as the normal funding. While Utah WAP has fielded new technology in the past it has always be "proven technology" that has a demonstrated savings. He went on to discuss that DOE does have funding streams such as, SERC, WIP, E&I, that are outside of this funding that are for those activities.

No other comments or questions were received.

**Davis-Bacon Wage Act Compliance**

Utah WAP acknowledges that any work on multi-family projects, 5 or more dwelling units, using WAP BIL funds will be subject to the Davis-Bacon Wage Act rules. Utah WAP will implement processes and controls to ensure that contractors engaged in the construction, alteration, or repair of those multi-family units will be paid wages at a prevailing rate not less than those prevailing on similar projects in the locality as determined by the Secretary of Labor. Utah WAP also acknowledges DOE may issue additional guidance as it becomes available.

**Buy American Provisions**

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Utah WAP is prepared to implement the necessary processes and controls to ensure the provisions of Buy American provisions, per Department of Energy guidance when made available, will ensure that any supplies of iron, steel, manufactured goods, or construction materials are manufactured domestically.

**RECIPIENT BUSINESS OFFICER:**

Brad Carpenter  
State of Utah  
WX Program Manager-DWS  
Building A-16-D Freeport Center

P.O. Box 160524  
Clearfield, Utah 84016  
801-626-3320

UtahWAP@utah.gov

blcarpenter@utah.gov

**RECIPIENT PRINCIPAL INVESTIGATOR**

Brad Carpenter  
State of Utah  
WX Program Manager-DWS  
Building A-16-D Freeport Center

P.O. Box 160524  
Clearfield, Utah 84016  
801-626-3320

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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

The State of Utah Department of Workforce Services (DWS) Housing and Community Development (HCD) Weatherization Assistance Program (WAP) provides services to applicants who are verified to be "Low Income" in accordance with 10 CFR 440.22.(a) (1)(2)(3) and WPN 22-5.

- The household's annualized income, as determined by the guidance in WPN 22-3 (or current version when updated by DOE), is at or below 200% of Poverty Level.
- The household contains a member who is receiving or within the last 12 months @ time of application, benefits under the provisions of Title IV or XVI of the Social Security Act.
- The household is determined to be eligible for Low-Income Home Energy Assistance Program (LIHEAP) operated in Utah as the Home Energy Assistance Target (HEAT) program.
- The household meets income eligibility of HUD means-tested programs. For these programs the Income Thresholds will typically be 80% of Area Median Income (AMI) The program may include:
  - Lead Hazard Control Grants
  - Multifamily Assisted Properties
  - HUD Public Housing
  - HUD Vouchers
  - HUD - VASH Vouchers
  - HUD HOME Program
  - Low Income Housing Tax Credits

Sub-Grantees verify Income eligibility using one of the above methods. When necessary they will obtain additional documentation to meet reporting requirements.

The majority of Utah's WAP applicants are referred by the State's Utility Assistance Program. (HEAT) Utah WAP has a verification system that allows the local agencies to search the Utility Assistance Program's database and independently verify the award status and date. This documentation is printed and placed in the client file.

When an applicant is not a Utility Assistance Program recipient local agencies obtain proof of income that complies with WPN 22-3 (or current version) and annualizes it to determine the gross annual household income. This documentation is also placed in the client file.

Income eligibility is verified annually from the date of income certification while the applicant is on the waiting list. When this income certification is from one of the approved 3rd parties it is their Approval/Award date that is used to recertification of income.

Additional collection of documentation verifies the applicant residency status to ensure only U.S Citizens or qualified aliens receive assistance.

Utah WAP will address the comments made in the Public Hearing and work to refine and clarify the multi-family policy.

Attachment

Utah WAP Guidelines

(Certain sections of this document are referred to throughout the Master File)

Describe what household eligibility basis will be used in the Program

Section C1. of the Utah WAP Guidelines details the entire eligibility process. This process is fully documented by the local agencies using the Client File. The required contents of the Client File are covered in Section C4. of the Utah WAP Guidelines.



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Household Income Eligibility is determined by combining the income of all qualified legal and non-legal US residents residing in the dwelling. For the purposes of determining a household priority non-legal residents are not to be considered in the household total count or any other priority point category.

Household Income is determined by all members of the household 18 years of age or older. This would include non-legal residents of the US 18 years and older. 18 year old full time high school students need not provide proof of income.

A qualified household will have an income that meets one of the following:

- The household's annualized income, as determined by the guidance in WPN 22-3, is at or below 200% of Poverty Level.
- The household contains a member who is receiving or within the last 12 months @ time of application, benefits under the provisions of Title IV or XVI of the Social Security Act.
- The household is determined to be eligible for Low-Income Home Energy Assistance Program (LIHEAP) operated in Utah as the Utility Assistance Program (formerly Home Energy Assistance Target (HEAT) program. )
- The household meets income eligibility of HUD means-tested programs. For these programs the Income Thresholds will typically be 80% of Area Median Income (AMI) The program may include:
  - Lead Hazard Control Grants
  - Multifamily Assisted Properties
  - HUD Public Housing
  - HUD Vouchers
  - HUD - VASH Vouchers
  - HUD HOME Program
  - Low Income Housing Tax Credits
- Sub-Grantees verify Income eligibility using one of the above methods. When necessary they will obtain additional documentation to meet reporting requirements.

Multi-Family Units will meet the provisions of 10 CFR 440.22(b)(2)

- Sub-grantees will ensure not less than 66% of the households in the building are qualified. 50% when the building is a duplex or 4-plex.

Utah WAP will work to refine and clarify this section of policy as requested in the Public Hearing. At this time it is our understanding that those questions are more specific to non-DOE funds used when braiding.

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

In determining eligibility of qualified aliens agencies have been instructed to view the HHS guidance referenced in WPN 22-3. Additionally Utah WAP has provided additional guidance to assist them.

To be considered for eligibility all applicants must be an adult (18 years old) and US Residents, or a "Qualified Alien".

- US residents would typically have a birth certificate from the US and/or Social Security card.
- Qualified Aliens are residing in the US in a legal status and are in possession of documentation that indicates that status. Intake staff are trained and educated to refer to Attachment #3 - Form M-396 (INS pamphlet about travel and identity documents) for more details on those documents
- Any applicant who cannot produce documentation indicating citizenship or qualified alien status are not eligible.
- Social Security numbers will be requested for all residents. This is needed to identify employment using E-Share or E-Rep.(Utah Dept. of Workforces Services eligibility systems) Refusals to provide this information will be dealt with by the local agency on a case-by-case basis but the approval process cannot proceed until residency status is determined.
- Total income from all of the occupants of the home must be counted, but only those individuals that are citizens or qualified aliens

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will be counted towards the Total Household in household count when determining priority points.

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

Procedures to determine that units weatherized have eligibility documentation

In verifying Building Eligibility, documentation is collected to determine who the building's legal owner is and obtain both Right of Entry and Right of Alteration of structure from the legal owner. This documentation typically covers the building construction date which allows for determining the need to address the need for lead testing and SHPO. During this process it also helps the sub-grantee determine if the property is being used for Income Purposes. This would provide the trigger to then treat and report the building as a rental unit and attempt to obtain a cost share participation from the owner.

Since this documentation comes from government sources, tax roles, DMV titles to mobile for manufactured homes etc... it gives the local agency the information to also ensure that the structure is permanent in nature and has a physical address not a P.O. Box. The one exception to this would be on the Utah portion of the Navajo Reservation and other tribal lands where individual land ownership is prohibited. In these cases where the applicants have a P.O Box the actual job location is marked using GPS during the audit.

The client is required to provide utility billing information or a release that allows the sub-grantee to obtain this information directly from the utility company. Utah WAP has elected to collect the required Occupant Pre-Existing or Potential Health Condition Screening, as required by WPN 22-7, during the Intake phase of the program.

Once these all these conditions are met the unit is determined to be eligible.

Documentation that will be collected

- Signed application
- Proof of household income
- Proof of Property Ownership
- Owner right of entry and alteration
- Landlord agreement for rental units
- SHPO approval on homes that are 50 years old or older (As required)
- A Occupant Pre-Existing or Potential Health Condition Screening
- Fuel usage history
- Proof of Citizenship

Utah's SHPO agreement was initially executed on 27 May 2010 valid for 3 years. Utah WAP renewed the agreement on 27 November 2020. The new agreement is in place until 31 December 2030.

Additionally we have a memorandum of agreement with the Navajo Nation regarding work on their land that aligns with the Utah SHPO agreement.

Utah Dept. of Heritage and Arts, who administers SHPO has fielded an online system now for local agencies to submit for SHPO approval.

<https://heritage.utah.gov/history/shpo-compliance>

Describe Reweathering compliance

Utah WAP acknowledges the changes to these provisions associated with reauthorization (WAP Memo 75) and have amended their policy to indicate that the "previously weatherized" date will now be the 15 year rolling option the new legislation outlines.

HCD operates the LIHEAP and HUD programs for the State of Utah. Only the LIHEAP program offers any weatherization program utilizing federal funds, which is done by Utah WAP. The tracking of these completions is currently in the existing reporting system and we are able to ensure compliance with the new regulations. Utah WAP has coordinated with USDA, Utah Office, Housing Program Director, Lori Silva to verify that they do not fund any weatherization program and that if they do they will coordinate their work and reporting of such with ours.

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To comply with 10 CFR 440.18(e)(2)(iii)

Sub-grantee will verify the unit against the HCD database (known as WebGrants)

- For previously weatherized units served under WAP or other Federal program 15 years after they are reported as a completion are not eligible.
- Units served more than 15 years after they are reported as a completion are eligible for re-weatherization. These units will follow all procedures as currently described in Utah WAP policy. These units will be reported as re-weatherized units to DOE.

Utah's reporting database has at least some basic information on units completed dating back to 1977. Local agencies search this as well as their own historic information in attempting to determine if the unit has been previously weatherized.

The reporting system which local agencies report their completions allows them to identify when one of the eligible units is re-weatherized thus allowing us to capture this data for reporting.

A unit that is determined to be eligible for reweatherization will be subject to all other applicant and building eligibility requirements previously mentioned in V.1.1.2 (e.g. household income, energy audit, health and safety assessment etc.)

Describe what structures are eligible for weatherization

**Eligible Dwellings**

To be considered an Eligible Dwelling unit the applicant's residence will meet one of the following:

- Single family dwelling (house)
- Townhome (Multi-family)
- Apartment (Multi-family)
- Studio Apartment (Multi-family)
- Cottage
- Condo
- Manufactured home
- Mobile home
- Shelter (under certain circumstances)

To be considered a eligible dwelling the unit will be permanent in nature. Usually this means it would require significant dis-assembly or major disconnection of utility services before it could be moved. Things considered that could make it ineligible are:

- A hitch or other device to be used for towing.
- Is self-propelled.
- Has operable axles, tires or wheels
- Can be easily moved or relocated.
- Is not connected to public utilities.

**Ineligible Dwellings**

No funds shall be used to weatherize a dwelling unit which is not eligible

- Dwelling unit was previously weatherized and has an Approved Date less than 15 years from the date the applicant signed the application.
- Dwelling is vacant or not being occupied
- Designated for acquisition or clearance by a federal, state, or local program.
- Dwelling has been foreclosed

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A dwelling is not eligible for weatherization unless it is the present and primary residence of the applicant. (summer homes, cabins, or other part time residences are not eligible.)  
Commercial buildings are not eligible.

Non-stationary campers and trailers that do not have a mailing address

Describe how Rental Units/Multifamily Buildings will be addressed

To be considered a qualified Multi-Family Building for use of DOE funds it will require 66% of all dwelling units contained to be qualified, if the building contains more than 4 units. Only 50% of units are required to be qualified when the building is a duplex or 4-plex.

Each Client File will contain a copy of the **Income Property Owner Weatherization Agreement**. This is a signed & notarized document executed between the legal property owner and the local agency. This document provides right of entry and right of alteration of structure for the local agency. It also establishes the grievance process for both the landlord and tenant. There are also provisions for dispute resolution using the Utah Energy Advisory Council and if necessary a 3rd party arbitrator. Additionally the document contains the language that provides other protections:

- Landlord agrees to not raising the rent for at least 1 year after weatherization services unless those increases are related to matters other than the weatherization services that were provided.
- Landlord agrees to no involuntary eviction, without cause, after weatherization services
- Landlord indicates if they agree to participate in the sharing of costs for particular services

Clients in rental units also provide proof of energy burden through utility bills or documentation showing that it is included in the rent at the time of application this helps ensure they are recognizing the benefits of weatherization services directly.

A 50% cost share for weatherization materials and labor on certain major measures is strongly encouraged but not required for rental units for compliance with 10 CFR 440.22(b)(3)(iv) preventing undue enhancement. Utah WAP has amended their policy to allow for property owner participation that would open up options in WPN 16-5 & 6. Cost sharing measures are:

- HVAC system replacement
- Window replacement
- Door replacement
- Refrigerator replacement

Utah WAP is realizing there are more qualification details with the inclusion of HUD properties. Utah WAP will be reviewing WPN 22-5 to ensure compliance and our ability to work with sub-grantees who encounter these types of units.

Describe the deferral Process

There are many reasons for the weatherization process to be deferred. Deferral is not refusal of service. It merely places the weatherization process on hold until such time that the issue(s) are resolved. Documentation of the issue is done using a State approved form for collection issue information and client notification via letter to the client. It is incumbent on the sub-grantee to clearly communicate the specific nature of the cause for deferral and the conditions which must be achieved for the weatherization process to resume.

Deferral notification will take place via a letter either mailed or sent electronically, depending on client communication preferences. The client is given at least 30 days to resolve the issue for deferral but the local agency has the flexibility to increase this when they feel it is warranted. To ensure more consistent and detailed information to the client Utah WAP has recently developed a sample deferral letter to serve as a template with supporting video to follow shortly. This will allow the sub-grantee to better communicate to the client the needs to resume weatherization and the impacts of the deferral process on their receipt of services.

Some of the more common conditions encountered are:

- Structurally unsound dwelling or one that is condemned for human habitation.
- Evidence of persistent infestation of rodents, insects, and other vermin.

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- Electrical or plumbing hazards that cannot be resolved prior to or as a part of the authorized WX work.
- The presence of sewage in any part of the dwelling unit
- Evidence of environmental hazards such as: serious moisture problems, mold & mildew, carbon monoxide, gas leaks, friable asbestos, or other hazardous materials, which cannot be resolved prior to the WX work.
- The presence of animal or human feces in an area of the dwelling unit where field staff must perform various WX measures.
- Excessive garbage and clutter build up in and around the dwelling unit where field staff must perform WX measures.
- Maintenance and housekeeping practices that are negligent to the point of limiting access of field staff to the dwelling or creating an unhealthy working environment.
- Threat(s) of violence, verbal abuse, physical abuse, or profanity towards any worker(s) or household member during the WX process.
- Evidence of the presence and/or use of any illegal/controlled substance in the dwelling unit.
- Evidence of drug cultivation, distribution, and/or manufacturing on the premises.
- A heating system in use has been determined to be unsafe or nonfunctional (through the determination of a qualified technician) and cannot be resolved through the normal efforts of the WX agency prior to the weatherization work or during the normal weatherization process.
- An un-vented space heater or other un-vented combustion appliances are present in the unit, which WX personnel have been unable to remove from the home.

Sub-grantees are directed, when possible, to provide a referral to any known resource that might better assist the client in resolving the cause for deferral.

The client may appeal the decision of the agency at anytime during the process. The appeal process is a 3 tier process. The goal is to resolve issues at the sub-grantee level if possible. When needed HCD will intercede at the client or sub-grantee's request to help address the issue. The highest level is a formal administrative hearing at the DWS Division of Adjudication.

**Steps**

1. Agency resolution
2. State WAP resolution
3. DWS Adjudication & hearing

Utah WAP implemented a method of tracking deferrals at the state level in PY 2019.

**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 qualified low-income members of all Utah Native American Tribes shall receive benefits and priority ranking equivalent to the assistance provided to other low-income persons within the state.

SEUALG Weatherization Assistance Program has undergone significant restructuring. At present the satellite office is not in operation. The SEUALG Weatherization staff, including Navajos, all resigned in 2021. Utah WAP has worked with SEUALG to obtain, train and certify new staff. Services are being provided to all portions of their service area. No determination by their management at this time on the cost effectiveness to restore the satellite office.

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

Compliance with 440.14(c)(6)(ii) - Utah will serve the entire state in during the life of the WAP BIL funding.

The current Utah Service Areas are aligned with the existing boundaries of the parent organizations of the sub-grantees. Sub-grantee

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selection is predominantly Association of Governments (AOG) (6) with one non-profit CAA. The AOG are the CAA for that portion of the state. The AOG model is the preferred means of service delivery by the State for the mostly rural areas. This has proved to be the most economical in delivery of services over these large areas. 6 of 7 sub-grantees have been delivering weatherization to the citizens of the State since the inception of the program. There have been no historic public comments during the public hearing process or otherwise to the State for the selection of sub-grantees.

Utah has updated its policies on both selection and termination of sub-grantees based of recommendations and best practices after the change of a sub-grantee in PY 18. These changes better reflect the requirements in 2 CFR 200, 10 CFR 440 and state requirements.

**Agency Selection Criteria:**

All eligible local Weatherization agencies were selected on the following basis:

- Public comment,
- Experience in weatherization
- Availability of State Certified Energy Auditors & Quality Control Inspectors
- Trained furnace technicians
- Past & Current weatherization performance,
- Ability to secure qualified labor
- Experience in serving low-income households

These boundaries are mapped in an agency map included in the Utah WAP PY 22 Monitoring document attachment.

**V.3 Priorities**

Utah has a comprehensive priority system that encompasses all the requirements of 10 CFR 440.16(b). When a sub-grantee has a backlog of clients exceeding 2 months or more they are required to create and maintain a Waiting List. This list shall be prioritized on a points system. The Clients with the most points are pulled from the list and added to the sub-grantee's production based on their capacity. This process is documented in the client file.

Priority points are awarded to applicants in the key areas as required by 10 CFR 440.16(b).

- Elderly (Age 60 or older)
- Disabled
- Pre-school age children
- High energy user (calculated using the method below)
- High energy burden (calculated using the method below)

Since the Utah WAP point system awards for each specific priority households with more than one category will be served sooner.

Energy User Percentage - The most recent 12 consecutive month consumption, from date of application, of the applicant's metered primary heating fuel divided by Utah average energy usage for low-income households. (6540kWh and 59.5dth) These numbers were derived with the assistance of the primary natural gas and electric utilities in the state.

Energy Burden Percentage - The sum of expenses of the most recent 12 consecutive month, from date of application, of the applicant's metered utilities divided by their annualized household income. This would typically be natural gas & electricity.

The sub-grantee will enter the relevant data in to the HCD WebGrants database as part of their completion reporting. This data will be collected and used in the Grantee reporting to DOE.

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**V.4 Climatic Conditions**

The state of Utah has a climate of extremes. In populated areas, heating degree days range from less than 3,200 to over 10,000. Cooling degree days range from near zero to over 2,200. Elevations in these same areas range from less than 2,500 feet to over 8,500 feet. Temperature extremes commonly go from less than -30 degrees F. to over 110 degrees F. Many of these extremes occur within the same local Weatherization agency area less than 100 miles apart. The average wind speed in the state is eight to twelve mph. Seasonal wind speeds may average 15 to 20 mph with occasional sustained average wind speeds far exceeding 50 mph.

Due to the extremes of temperature found throughout the state and even within some local WAP agency areas, the audit procedures used by all local WAP agencies have been prescribed to require specific weather files based on the location of the client. This allows more accurate audits whose results are tailored to each specific dwelling unit and climate zone.

The state of Utah is primarily a heating climate even though the southern portion of the state has major cooling loads. When using the WA 8.9 audit tool, heating is a far more significant factor than cooling in determining energy conservation measures. In every case the heating loads require more comprehensive measures than cooling loads. Where possible and allowable under the WA 8.9 audit tool, weatherization improvements will meet the state energy code.

State WAP has established a list of weather files to be used in the WA 8.9 audit tool to address the varied climate due to changes in altitude:

- BRAG = Pocatello, ID  
Rich County = Rock Springs, WY
- UBAOG = Rock Springs, WY
- 5 County AOG = Washington County below 4000' = Yucca Flat, NV above 4000' = Cedar City, UT  
All other areas = Cedar City, UT
- SEUALG = San Juan County below 4500' = Yucca Flat, NV above 4500' = Salt Lake City, UT
- All other agencies below 4500' = Salt Lake City, UT above 4500' = Cedar City, UT

Utah is still awaiting the 2020 U.S. Census to update this data.

Attachment 16: Allocation Formula Degree Days

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1981-2010 Population Weighted Heating Degree Day Norms

BEAR RIVER AOG

Box Elder 6,383

Cache 7,481

Rich 9,381

FIVE COUNTY AOG

Beaver 6,332

Garfield 7,235

Iron 6,327

Kane 5,815

Washington 4,462

HOUSING AUTHORITY OF UTAH COUNTY

Summit 8,592

Utah 5,861

Wasatch 7,436

SALT LAKE CAP dba Utah Community Action

Salt Lake 5,594

Tooele 6,153

Davis 5,943

Morgan 6,752

Weber 6,245

SIX COUNTY AOG

Juab 6,496

Millard 5,934

Piute 6,541

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Sanpete 6,423  
Sevier 6,088  
Wayne 7,291  
SOUTHEASTERN UTAH ALG  
Carbon 6,847  
Emery 6,692  
Grand 5,469  
San Juan 5,979  
UINTAH BASIN AOG  
Daggett 8,632  
Duchesne 6,881  
Uintah 7,650  
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**V.5 Type of Weatherization Work to Be Done**

**V.5.1 Technical Guides and Materials**

Only energy conservation materials which meet or exceed standards prescribed in 10 CFR 440 Appendix A will be purchased and installed utilizing DOE program funds. Measures are determined by using the Weatherization Assistant 8.9

When Utah WAP transitions to the WA 10 online version WAP BIL projects will be audited using that tool.

The current Utah Weatherization Field Guides were **approved on 3-18-2021**.

The current field guides were hand distributed to the subgrantees and a online version was made available as well. Subgrantees are responsible to distribute this document to their contractors. Programmatic monitoring includes a check for this as well. The new version will be strictly a web based online product viewable on all device platforms. Since this is a Google® site we have trained on how to make it available "offline" so individuals in remote parts of the state will still have access in the field at all times.

Weatherization contracts contain specific language in the Scope of Work Attachment regarding compliance of work to the field guide that is cross referenced to the SWS. The contracts also contain the confirmation of delivery. Signature on the executed contract is their acknowledgement. This has been ongoing since PY 14 to comply with WPN 22-4. (sample document is attached to SF-424)

Sub-grantee efforts to ensure this documentation is delivered to contractors working on their behalf is verified during the annual monitoring process. (See Programmatic Monitoring Checklist starting on page 7) State Staff has worked with the sub-grantees to develop either Standard Terms and Conditions or contractual language to meet the requirement of WPN 22-4. Since agencies use the contractors for non-DOE work as well they are required to add other terms as needed. The required language covers: Confirmation of delivery of work specifications, training cost and retention/repayment for training expenses.

**Link to Utah Field Guides:** <https://sites.google.com/utah.gov/fieldguide/home>

**Attachments**

2022 DOE Contract Scope of Work

Agency Sample Standard Terms & Conditions

Field guide types approval dates

Single-Family: 3/18/2021
Manufactured Housing: 3/18/2021
Multi-Family: 3/18/2021



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**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: Other (specify) DOE NEAT Audit - Approved July 14, 2020 by Erica Burrin, Program Manager, DOE
Approval Date: 6/10/2020

Audit Procedure: Manufactured Housing
Audit Name: Other (specify) DOE MHEA Audit - Approved July 14, 2020 by Erica Burrin, Program Manager, DOE
Approval Date: 6/10/2020

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

**Comments**

<p>Energy auditing for the program is covered using the Weatherization Assistant software ver. 8.9</p> <p>WA 8.9 is currently used when there are up to 4 dwelling units that are individually heated and/or cooled. Additionally Utah uses this tool for 5-24 units as allowed in the approval by DOE.</p> <p>Utah received approval for use of the WA 8.9 tool on 14 July 2020 in a memo signed by Erica Burrin.</p> <p>Utah was approved for LED lighting on 8 December 2015. Measure lifespan increases 3-5-2019. Refrigerators 4-30-2019.</p> <p>Since Multi-family units are less than 20% of the housing stock Utah does not have an approved multi-family audit. Multi-Family units are handled using the protocol covered in WPN 19-4. Utah WAP will use MulTEA or other DOE approved audit tools on small multi-family buildings.</p> <p>The Energy Auditor training and certification has been a priority for Utah. Utah WAP has fully implemented the requirement of the BPI Home Energy Professional Energy Auditor Certification. Currently all of Utah's Energy Auditors are certified and these requirements have been added to our policy. Additionally we have developed and Auditor In Training process to guide and track the training of new hires to ensure they are prepared for the role.</p> <p>Utah has been actively training auditors on auditing standards that were part of the audit tool re-certification. Utah has implemented a technical monitoring specifically for energy auditing to better evaluate the needs and develop and deliver training on this critical area.</p>
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**V.5.3 Final Inspection**

<p>Utah strives to have a minimum of 2 QCI certified inspectors at each sub-grantee, this varies with turnover. State WAP currently has 2 QCI certified individuals. There are a total of 25 in the State and we are adding more; this easily covers the entire needs of the program. The state has an active role in tracking these certifications and CEU's to ensure continuity of service.</p> <p>These certified QCI's must conduct a detailed inspection of all aspects of the project prior to it being reported as a Weatherized Unit. This inspection is documented on the Utah WAP QCI Inspection form which has been revised for PY-22. As we look towards our continued improvement we have decided to completely restructure our form. Some key features are:</p> <ul style="list-style-type: none"><li>• Cross referenced citations to policy</li><li>• Parallels the State WAP Monitoring Checklist</li></ul>
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- Incorporation of the state Standard File Format
- Agency level internal review of the QCI

Utah WAP is aware of the changes in WPN 22-4 allowing a mentorship and has language allowing this in their policy.

Utah WAP's method for addressing QCI's not performing to standards was to institute a verification of 3rd party certification. This is detailed in Section D2.7. of the Utah WAP policy. When it is identified that a person performing work is not meeting the requirements of that certification corrective action is taken to include:

- Retraining
- Disallowance of measures
- Disallowance of entire job
- Non-acceptance of that individual's work

This methodology allows Utah WAP to take a more immediate and direct action for those individuals who are not directly employed by Utah WAP but still need to be accountable to us.

All weatherization work will be directed by a work order that meets the requirements of the State Weatherization Guidelines. All materials purchased and installed will comply with Appendix A 10 CFR 440.

To comply with WPN 22-4 Section 2 Utah has developed policies and procedures to regulate the QCIs. These policies cover:

- Independent QCI & Auditor/QCI – (section B11.5. a. iii.) this is required in Scope of Work in the contracts to the sub-grantee
- QCI Validation by State WAP Staff – (section D2. 7.) certifications and CEU's are tracked by IWTC staff
- Revoking QCI validation and non-acceptance of work – (D2. 7. B. iv. )
- Monitoring of the QCI – (section D2. 7. b.)

At this time, since Utah does not have an approved audit for multi-family, QCI of these types of units are not a pressing concern. Since it is anticipated that multi-family will be a part of WAP BIL for Utah we will explore and develop the protocols for the QCI of these units. This will include both qualifications and requirements of the individual conducting the inspection.

Utah policy (section B11.5.a.iii.) allows the smaller sub-grantees to use an Auditor/QCI. For WAP BIL Utah will monitor 5% of production for any sub-grantee taking this approach. Utah will monitor 5% of production for any sub-grantee using an independent QCI. For WAP BIL below are the monitoring percentages.

Sub-Grantee QCI Approach Monitoring Percentage

Bear River AOG Auditor/QCI 5%  
Salt Lake CAP Independent QCI 5%  
Mountainland AOG Independent QCI 5%  
Uintah Basin AOG Auditor/QCI 5%  
Southeastern Utah ALG Auditor/QCI 5%  
6 County AOG Auditor/QCI 5%  
5 County AOG Auditor/QCI 5%

All units will receive a Final Inspection to insure they comply with the requirements of 10 CFR 440.16(g).

No dwelling unit may be reported to DOE as completed until all weatherization materials have been installed and the sub-grantee, or its authorized representative, has performed a final inspection(s) including any mechanical work performed and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures.

This dwelling would have the following:

1. Has received a Health & Safety Assessment and been documented on H&S Form #1.
2. Has had all requisite testing conducted and results documented.
3. Has received an Energy Audit by a qualified person in the program.
4. Has had all approved measures installed in a professional and workman like manner.

This includes:

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- Audited measures with an SIR of 1 or higher
- Health & Safety Measures
- Incidental Repairs associated with approved audited measures.

Has received a final inspection by a certified QCI:

1. Accounts for all materials credited to the job.
2. Verifies that those materials have been installed according to the program's work specifications.
3. Verifies that all work invoiced by contractors was done and meets the program's work specifications.
4. Reviews the energy audit to compliance with the Utah WAP Guidelines
5. Reviews the Work Order to compliance with the Utah WAP Guidelines
6. Includes a final Worst Case Draft Test.
7. Includes a Post Blower Door test.
8. Has a signed Final Inspection Partnership Agreement
9. Has a signed QCI Inspection form

A reported completion will also have a complete Client File that includes all the required application, production, inventory, purchasing, testing, and inspection documents.

Has been reviewed by the sub-grantee Weatherization Coordinator/Director or designated representative for completeness and accuracy prior to submission to the State as a completion.

Is a first-time weatherization project or a qualified re-weatherization project.

Was not an amended project previously reported as a Weatherized Unit.

A "*Partial Weatherized Unit*" is a dwelling that has NOT met the above requirements. This might be caused by Deferral or that the client refuses services or access after the weatherization process has begun. These units have had funds expended on them but cannot be reported or counted as a completion. Utah tracks these partial weatherized units in the statewide database.

Attached Documents:

Utah WAP PY-22 Monitoring Documents (contains the new QCI Checklist starting on page 45)

**V.6 Weatherization Analysis of Effectiveness**

Has the Grantee/Subgrantee effectively integrated diversity, equity, and inclusion objectives into the Program? If so, how?

Although this is a very subjective question Utah WAP's workforce is a diverse one. Utah WAP will be creating a working group of stakeholders in the network to help develop Diversity, Equity, and Inclusion objectives.

Realized energy savings studies.

It continues to be a long-term goal of Utah WAP to fund the development and contracting of an energy savings and effectiveness study. We see brighter opportunities with the pending WAP BIL funding and will finally be in a position to commission a study with one of the major universities in Utah. Utah WAP would ask that DOE support us and other states who are aspiring to do these types of studies with methodologies and guidance.

How the effectiveness of Subgrantee weatherization is assessed?

Utah WAP has been collecting a reasonable amount of data considering the limitations of our antiquated reporting system. Below are some of the data points we collect and evaluate to measure effectiveness of the sub-grantees.

- **Estimated MmBtu's saved.** This data is collected from the energy audit. We have 3 good years worth of data now and are able to start seeing trending. We can use this to identify agencies that might need auditor training based on this data.
- **Pre & Post Blower Door data.** This data point is look at both from Percentage of Reduction and Average CFM Reduced. This is out key metric for air sealing and pressure diagnostics training.

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- **Pre & Post ACH 50.** This data is being used to help keep the Blower Door data in context. We are beginning to see some correlation to air sealing effectiveness but building tightness prior to Wx can skew that data. The average ACH helps us better understand that impact to the overall air sealing effectiveness at the agency.
- **Average Energy Index.** We are just getting a decent data set here and trying to understand what it is telling us. One thing that has us puzzled right now is some of the sub-grantees who struggle with MmBtu and Air Sealing have higher Energy Index as well. Instinct would tell us that these homes should have a higher potential savings but we are not seeing those results.

How the comparisons are used in the development of T&TA activities and priorities?

This data is used in the Training Needs Analysis. Review of the Utah WAP T&TA Report will give a better idea of how all of our data is used to drive T&TA

- Utah WAP is still using a "needs based" approach to development of training. This process takes place after the conclusion of the prior PY so we can examine all relevant data. In most cases we are now trying to compare this data in a running 3 year average so we can better see trends.
- We use a process that compiles all monitoring comments in a tracking sheet that gives us a more comprehensive analysis of our monitoring data. This is allowing us to make informed decisions on when the training is a program wide need versus an individual sub-grantee need.
- PY 17 we implemented a training plan section to each technical monitoring report. This supports the previous bullet where we can tailor training needs to the sub-grantee and sometimes even the individual.
- We have been collecting Energy Index data from the WA 8.9 tools. We hope to compare this data with the Audited MmBtu data. It should give some indication of how well the audit captured the potential savings of the home. This will guide development of audit training.

How the training needs are being assessed?

- At the end of each PY State staff conducts a Training Needs Analysis. It takes in to account monitoring data, performance data, and feedback from the sub-grantees. This is rolled in to our training plan and other management aspects of the program. State WAP staff does this typically in late July during their 2 day annual strategic planning meeting.
- The monitoring process collects data on local training subgrantees have conducted or participated in. This keeps us from providing something they have already addressed locally.
- Subgrantee can directly request help from State WAP/IWTC.
- Technical monitor's guidance is to try and establish agency specific training plans for the area evaluated based off their monitoring.
- Required certifications and licensure renewal dates are tracked at state training facility. This allows us to anticipate and offer CEU's or renewal classes.

How the Grantee is incorporating monitoring feedback?

- Programmatic Monitoring is conducted by the State Program Manager. This allows him to receive the results of the technical visits and then provide a complete overview to local management at the conclusion of the annual monitoring process. Likewise it provides the sub-grantee direct access to the State Program Manager to give feedback.
- Data and comments from monitoring are used in development of the State Training Plan.
- There is a Monitoring Survey issued at the conclusion of the PY to collect additional feedback as well.

What is the Grantee doing to be on a path of continuous improvement?

- The Training Needs Analysis process is really designed to maintain the program on a path of improvement since it encompasses so many facets of the program.
- PY 19 Needs Analysis revealed the biggest program need was Professional Development. By investing time in training and developing our local leaders it will facilitate growth and improvement program wide. Utah WAP realized that we were spending more time and energy managing the agency in things the local leaders should be doing but, were not equipped to do that. This was derailed in PY 20 and 21 because of COVID restrictions on meeting. It is our opinion that effective leadership and management training is more effective in person.
- Collecting more data to better influence our decisions on the program
- Developing new or revisiting program forms to find opportunities to improve consistency and accuracy.

How is the Grantee tracking Subgrantee performance reviews?

The monitoring process creates a document that summarizes strengths, improvements and weaknesses in 8 functional areas.

- Client Intake

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- Client Files
- Energy Audits
- Field Work
- Purchasing & Inventory
- Final Inspections
- Program Operations
- Administrative Functions

All monitoring documents are centrally maintained on a common drive electronically which all team members can access. The pre-monitoring includes review of previous year's monitoring to follow up on any items and become familiar with any trends or past issues. Utah WAP has been tracking all results/comment from the monitoring process since 2018. This includes any Findings or open Areas of Concerns to ensure they are resolved and closed. We have also restructured some monitoring tools to incorporate 3 year trending to better view the results.

If a Subgrantee has failed final inspections, how are things improving?

- There has been a revision of the QCI/Production monitoring tool to incorporate a 3 year trending methodology so we can better measure progress over time.
- Field Supervisors must sign off on corrections items identified during a QCI. This ensures the information is getting back to the field workers.
- Utah WAP sub-grantees are required to use a system to track failed items from inspections. The State WAP staff reviews this during technical monitoring. Our goal is to get the sub-grantee doing more self-analysis of their program.

If a Subgrantee has management findings or concerns cited as a result of Grantee monitoring or audit proceedings, how are things improving?

Utah WAP enters WAP BIL process with no outstanding management findings at any sub-grantee.

What are the management mechanisms being put in place this year to affect improvement?

- Utah finds the current systems in place are proving effective. Utah will continue to self-evaluate annually and modify as needed.
- In PY-21 and early PY-22 Utah WAP has been struggling with the loss of staff. It has been virtually impossible to hire a replacement. This has limited our ability to consider any meaningful improvements.

Are there technical and financial systems that have been reviewed?

- Utah conducts 2 types of technical monitoring, Production/QCI & Energy Auditing.
- Financial systems are now being monitored by the DWS Fiscal Grant Managers. They also may be subject to an additional monitoring from DWS Internal Audit Team.
- Desktop monitoring is done as part of any request for funds.
- Each sub-grantee does an annual single audit that is reviewed by DWS Internal Audit and the Risk Assessment Team.

What has the Grantee done in the area of market analysis to ensure particular measures are being costed accurately?

Market analysis is broken down in to 3 areas:

1. Fuel Costs

State staff conducts an annual survey of fuel providers across the state and compiling this data for distribution and implementation to the audit tool fuel library. This data is adjusted to the average annual low-income household usage.

2. Material Costs

Material costs are reviewed by the sub-grantee and updated in the audit tool as the purchase price changes. This process and data is verified as part of annual monitoring.

3. Labor Costs

Labor costs are updated annually with the State in the Wx Operations Plan the subgrantee submits. Checks are also made on this data during monitoring ensuring that it is being updated in the audit tool.

Attached Documents

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Utah WAP Training Plan PY 22 contains examples of mentioned data

**V.7 Health and Safety**

The Utah WAP Health & Safety Plan is designed to ensure reasonable precautions are taken to protect clients and personnel. Contained in this policy are guidelines for identifying Health & Safety (H&S) issue(s), and determining whether issue(s) should be remedied, referred, deferred, or result in partial weatherization. When an agency identifies an issue that is not specifically addressed in policy they consult with the State WAP staff to determine the best course of action.

**H&S Budgeting**

Utah WAP has not budgeted braiding of funding for WAP BIL . Budgeting this category when the projected spending of funds could run anywhere from 5-10 years is

Based off PY 21 data and current costs for our 2 major expenses, water heaters and ASHRAE, we are setting the **H&S funding for WAP BIL 40%** of Program Operations. Since WAP BIL funds represent 100% of the funding **the DOE portion of H&S will be the entirety.**

The statewide average H&S Cost per Unit (**WAP BIL funds specific**) should not exceed \$3205 for the program year. **The DOE portion of that H&S ACPU would equate to \$3205** creating the basis for the H&S budget total of \$4,106,016 (1288 X 3205= \$4,128,040)

Utah WAP uses these numbers to create our internal controls and define Minor and Major Repair. A Major Repair is any measure that exceeds H&S ACPU and need state approval with the exception of water heater replacement. The Minor Repair threshold also serves as a trigger for the use of a Case by Case review process for various items on the H&S Table of Measures.

Utah does not permit the use of Health & Safety funds to be used in air conditioner replacement. This activity is funded using LIHEAP Crisis funding. Target Client Households (households that contain elderly, disabled, or pre-school age children) are the only homes eligible.

Prior to any weatherization activities being implemented, subgrantees are required to inspect dwellings for the presence of health and safety issues, conduct applicable required testing, and to inform the client of any issues that are identified. This is to identify any issues up front that might impede weatherization.

If issues such as work outside of scope of the program, health & safety concerns which are not permissible to correct, or other items that would prevent weatherization work the job is deferred to prevent partial weatherization, which is not allowed. Work may resume when the cause for deferral has been met by the client. Any work conducted on the home that is in deferral status would be disallowed.

Part of the Health & Safety Inspection is identifying occupant health concerns and attempting to identify & mitigate the impacts of weatherization activities on those concerns. Some of this information will be collected during the application process, but subgrantees are required to perform additional screening during the audit process to ensure that steps are taken to ensure that weatherization work will not worsen any occupant health issues. Health & Safety Form 1 has been created as the primary tool to collect and record this information.

The Utah WAP Health & Safety Template contains a list of issues that, when identified during the Health & Safety Testing, will result in the corresponding action. While situations might arise these items will be the typical Health & Safety measures for the program.

Utah WAP has implemented an internal control Case-By-Case process that is covered in section E.3.4 of the guidelines. This is referenced in several places in the H&S template. It is the Utah WAP state staff that determines if these requests are in compliance with the H&S plan. Submissions are tracked at the state level and a copy of that approval is placed in the client file. The justification of the request is evaluated to determine if it is reasonable and allowable against the approved H&S plan. Section E3.4.b establishes basic criteria and when deemed necessary additional criteria is included in the H&S template for that measure.

Compliance monitoring of RRP are included in the Production Monitoring process. The technical field monitoring staff is RRP licensed by the State of Utah Dept. Environmental Quality. H&S Plan will comply with all the requirements in WPN's 22-7.

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Health & Safety document attached are:  
Utah WAP BIL H&S Template

**V.8 Program Management**

**V.8.1 Overview and Organization**

The Utah Housing & Community Development Division (HCD) shall be responsible for the administration of the Utah Weatherization Assistance Program. It is a division within the Department of Workforce Services (DWS) in the Executive Branch of the State of Utah. Program implementation is completed by a program manager, three monitor/trainers, and a fiscal/budget officer.

HCD operates a wide variety of programs that assist the residents of Utah including the following which align with WAP:

LIHEAP

HUD Home Program

State Housing Program (this encompasses the single family home rehab program)

CSBG

CDBG

Section D of the Utah WAP Guidelines covers that HCD operations and responsibilities. As the state administering agency, the Housing & Community Development Division shall complete the following:

1. Disseminate information and technical assistance to local participating agencies regarding the application process and requirements for the program. Provide training opportunities as needed.
2. Assist local participating agencies in implementing policies and guidelines of both the DOE and the state.
3. Assure that agencies meet reporting requirements to the state. Provide the required monthly, quarterly, semi-annual, and final reports to the DOE.
4. Prepare and submit the annual state application to the U.S. Department of Energy along with all required reports to the cognizant federal agencies.
5. Oversee production and workmanship quality through yearly monitoring of each subgrantee.
6. Provide funding reimbursement based upon achieving production goals, meeting administrative requirements, and following state and federal requirements.

An HCD Org Chart is included in the Utah WAP BIL Monitoring attachment.

**V.8.2 Administrative Expenditure Limits**

The DOE allocation including the **Administrative funds** are allocated according to the allocation formula which is attached to the SF-424 as Utah WAP Allocation.

Administration Funds: 15% of total allocation will be allotted as administration funds. 7.5% of total allocation will be allotted to the state for administrative purposes, and 7.5% of total allocation will be allotted to subgrantees for administrative purposes.

As part of the DWS annual Risk Assessment process each sub-grantee must indicate their indirect rate approach for the year (FNICR, De Minimums, Cost Allocation) and this is included on the contract coversheet. Controls are in place through the contracting and payment mechanisms to ensure no over expenditure of admin funds is possible.

Attached Documents:  
Utah WAP BIL Allocations

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**V.8.3 Monitoring Activities**

Utah WAP BIL Monitoring will initially be incorporated as part of the PY-22 Monitoring and the samples will contain both Regular and WAP BIL units. As Utah WAP staff increases during ramp up a separate monitoring schedule will be developed based on production of WAP BIL units and manpower assets available.

Utah WAP's monitoring will comply with the provisions in WPN 20-4, including but not limited to Programmatic, Management, and Financial Monitoring of sub-grantees.

Annual Monitoring of all sub-grantees is conducted throughout the year and life of this award. This is an on-site visit to each to the sub-grantees. The monitoring divided in to 4 functional areas Programmatic, Production, Energy Auditing, Financial categories.

There is a 5% sample size of contracted completions on all monitoring dependent on if the agency has a Independent QCI or Auditor/QCI. The sample does not include in progress units that are also monitored. This is a comprehensive process that looks at:

**Programmatic Monitoring**

- Sub-grantee Review
- Administrative Operations
- Equipment/Inventory/Materials
- Client Eligibility
- Weatherization Rental Agreements
- Feedback and Reporting
- Health & Safety expenditures
- Program Documentation (Client File Review, Work Orders, etc.)
- Inventory
- Payroll/Personnel
- Procurement
- Records Retention

**QCI/Production Monitoring**

- Energy Audit
- Audit Testing & Diagnostics
- Health & Safety Inspection
- Work Order
- Weatherization field work
- Lead Safe Weatherization
- QCI Inspection
- QCI Certification Validation
- Agency Training
- Additional agency qualifications

**Energy Auditing Monitoring**

- Field Data collection
- Wx Strategy
- Audit tool input
- Audit tool database settings & management
- Diagnostic testing
- Lead Testing
- SHPO
- H&S Inspections
- Work Orders
- Auditor Certification Validation



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**Financial Monitoring**

Financial Monitoring is done at 2 levels. A DWS Fiscal Grant Manager assigned to WAP does a Financial Monitoring that meets both DOE requirements and DWS policy. As required by law the single audits are submitted to the State Auditor who reviews them. Likewise DWS Internal Audit and Risk Assessment teams that review the single audits and conduct their own independent audits and monitoring of the sub-grantees. These activities cover the management and accounting systems along with their participation in the per-award risk assessments.

The monitoring process consists of:

- Pre-Monitoring - State staff reviews previous monitoring documents, send Entrance Interview Question to sub-grantee. Sample selection and preliminary file review.
- On Site Visit - State conducts site visit to agency and client homes both completions and In Progress. Uses monitoring instruments to check program areas and record data. The On Site Visit is concluded with Exit Interviews with the Program Manager. Exit Interview with the Agency Executive Directors are conducted as part of the Programmatic Monitoring which takes place after Auditing and Production Monitoring.
- Post Monitoring - Compiles & reviews information. Sends a monitoring letter with results and other information to the sub-grantee. This is completed within 30 days of the Exit Interview. Open items are tracked and followed up by the monitor.
- Periodic Monitoring - When there is an identified need, such as a subgrantee with significant or systemic deficiencies additional monitoring visits may be conducted outside of the scheduled Annual Monitoring Visit.

Tracking & Analysis: All open monitoring issues (Finding or Areas of Concern) are tracked by the State until closed. Comments on strengthening the program are tracked in a Monitoring Summary and used in the next monitoring as a gauge of progress. Utah has implemented a central tracking system of monitoring comments. The goal is to be able to see multiple years of comments to better identify trends. This data is mined as part of the Training Needs Analysis as well.

Non-Compliance:

The State WAP Guidelines cover the procedures for dealing with sub-grantee non-compliance When an issue is identified (Finding or Area of Concern) a Corrective Action Plan (CAP) will be implemented. In most cases this is part of the monitoring letter. In extreme cases it can be a separate document. This will contain a description of the issue, the timeline for resolution of the item, training necessary to address the matter, and actions required by all parties. It further details the punitive actions HCD may take against the sub-grantee:

- Disallowed Cost
- Disallowed Job
- Letter of Non-Compliance (A formal warning prior to the commencement of terminations)
- Agency Termination

Utah WAP updated its policy on non-compliance and termination following the change of sub-grantee in PY 18 to clarify the steps in the process and citing 2 CFR 200 as appropriate.

A Monitoring Schedule is included in the Utah WAP Monitoring Documents attachment with the projected dates the agencies will be visited. Financial Monitoring takes place in Q3 of the PY.

**Budgeting:** Monitoring funds for PY22 from DOE are included in the T&TA allocation retained at by the State. Monitoring expenses are expected to represent between 58% - 62% of these funds. This will cover partial wages and fringe for 3 FTE. Non-DOE funds will be used to cover the balance of the monitoring. Travel expenses for monitoring should be \$6,885. (10 trips @ \$689 a trip) See Budget Justification for more detail.

**Staff:**

Programmatic Monitoring

Brad Carpenter (Certified Public Manager)

QCI/Production Monitoring

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Matthew Rogers (QCI & Auditor certified)  
Justin Davidson (new hire in training)  
Energy Auditing Monitoring  
Matt Turner (QCI & Auditor certified, BPI Proctor)  
Fiscal Grant Manager  
Kaylee Beck  
Vacant Positions  
3 FTE  
Monitoring Documents Attached:  
Utah WAP BIL Monitoring

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

Utah WAP BIL training will follow the existing process for training. At this time it will focus training based on the PY-22 Training Plan and utilize the Needs Analysis process in place to determine networks needs in the future.

There are existing IREC accredited trainings that Utah WAP will provide based on network demand as staffing increases. These "workhorse" classes are our:

Online Learning via the IWTC LMS

Energy Auditor 101 - Initial EA training

EA/QCI Certification Course - The the training and testing of candidates for BPI certifications

Utah WAP Badging System - Field OJT of new and existing staff.

**Training Plan Feedback & Grantee Provided Training**

Our feedback from subgrantee monitoring and data from reporting continues to be our key sources for establishing our training priorities. Utah WAP conducts an extensive Training Needs Analysis each year to both measure progress and identify weaknesses. Our Training Needs Assessment is not done until the end of Program Year so we have all necessary data for us to draw accurate conclusions. Areas identified for PY 22 so far are:

- Health & Safety
- Building science
- Utah Field Guide
- Utah WAP Badging System
- Combustion appliance safety and analysis

Utah WAP has conducted an anonymous online survey in our PY 21 Q4 to collect network feedback. This data will be rolled into the Training Needs Analysis.

Compliance with mandatory training has never been an issue in the program's history. If needed the State would remove T&TA funding for lack of attendance.

**Comprehensive Training**

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The current year update begins on page 6 of the Utah WAP Training Plan (attached).

Utah WAP continues to utilize a "needs based approach" to training. Our training approach has been thoroughly outlined in the attached Utah WAP Training Plan PY 22 document. In PY 21 Utah's path to IREC accreditations was disrupted with the unexpected resignation of one team member. Utah WAP has submitted their accreditation applications to IREC and is currently in the review process with them. Accreditation is anticipated by Q2 of PY 22.

As reflected in the percentages of T&TA funds Utah sees a more balanced approach to the tiers of training thanks to the state conducting a true needs assessment and identifying actual needs. This would potentially change based upon the results of the complete analysis. The percentage screens in this section regarding budgeting are Utah WAP's best estimate. Utah WAP continues to report the actual training projections in the Annual T&TA Report.

**Maintaining Workforce Credentials**

The Utah IWTC is an accredited training and testing facility. This allows Utah to actively maintain all workforce credentials. IWTC Staff tracks or monitors for all required credentials:

- IREC accredited (QCI, pending RIT/CL & EA)
- HEP certifications by BPI (Auditor and QCI)
- OSHA 10 & 30 Hour
- EPA 608
- Rocky Mountain Gas Association (RMGA)
- Lead Inspector
- Lead Renovator (RRP)

There is also monitoring and other checks that verify that local agencies are maintaining necessary licensure required by other state entities. We have also established a shared tracking system so the sub-grantees can become more engaged in the management of their staff.

Utah does not establish any licensure or certification requirements prior to hiring, understanding most of the items we desire are not industry required in this state. We do have minimum times from hire that certain requirements are met.

- OSHA 10 = 30 days
- RRP = 1 year (as applicable to employee)
- RMGA = 1 year (as applicable to employee)

In PY 20 Utah has adapted the "badge system" to our New Hire Training requirements. We have taken the 26 most relevant tasks for our housing stock and cross walked these tasks to our field guide and the SWS. The employee must demonstrate competency by completing each task or skill on at least three separate occasions (unless otherwise stated on the badge).

- Initial Completion: Task is trained by experienced agency staff that signs off that the employee was trained. Employee signs off indicating they understood the training. QCI verifies work complies with program standards.
- Second Completion: Employee performs task which can be aided by experienced staff. QCI verifies work complies with program standards.
- Third Completion: Employee performs task unaided. QCI verifies work complies with program standards.

It is understood there are certain tasks that cannot be performed alone. In these instances the New Hire is to be considered the "lead" worker of the task.

The Initial Completion of **each** task must be completed on all badges within the agency's probation period as established by their HR policy. The entire process must be completed within 24 months from the employee's initial hire date. Non-compliance results in the disallowance of the employee's wage & fringe to Weatherization contracts.

**Industry Wide Initiative and Future Requirements**

Utah WAP continues to require their Energy Auditors to be BPI certified. Utah has requirements similar to the QCI for people filling this role in the state to ensure their work meets program standards.

With the unexpected staffing change and inability to hire Utah WAP has had to take a "hold the line" position for PY-22. Due to limited

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resources we have been more focused on maintaining current certifications and addressing network new hires.

Our most important initiative at the state level will be to monitor and collect data that we can roll in to our needs analysis.

**Evaluation and Comparison of Effectiveness**

The true test of effectiveness of training is measuring the results afterwards. Since Utah is using a needs-based approach we are trying to make data based decisions. The positive effect of that is we can analyze the effectiveness of our training by continued analysis. Beginning on page 10 of the Utah WAP Training Plan PY 22 is the preliminary PY 21 data integrated into our historical data. The 5 charts provided are only a fraction of the information we are collecting and evaluating.

**Grantee Assessment**

As noted at the top of this section we are regularly monitored by other state entities. In addition to the State Auditor's Office and DWS Internal Audit we are also monitored annually by the LIHEAP office. We feel the feedback from these external audits provides good insight from a different perspective. Monitoring results from these external audits are incorporated to the planning process.

Utah WAP underwent a desktop audit from DOE on Energy Auditing during PY 20. The feedback from this has been very valuable. It not only confirmed weaknesses we had already identified but additional areas to address. While we feel we have addressed all these items according to our submitted CAP this will also be a part of the Training Need Analysis.

Feedback is solicited from the sub-grantees by the State Program Manager at the completion of the monitoring cycle as well. This continues to lead to adjustments in the monitoring process to make it more collaborative and capitalize on the training value of the site visits. This past year we worked on making our monitoring reports easier to understand trying to give more meaningful feedback.

State staff will continue to participate in trainings such as Energy OutWest and NASCSP keeping us on a national level. Our training center participates in the Trainer's Consortium as well.

**H&S Training**

H&S Plan training will again be a dominant focus of training with the issuance of WPN 22-7. We will do a program wide technical training around Q2 of PY 22 that will include this component. There will be training in PY-22 to also prepare the network for further implementation as well.

**Programmatic & Administrative Training**

Utah WAP will develop and deliver programmatic and administrative training that addresses the needs identified as part of their monitoring and Needs Analysis process used to determine training needs.

This training will be delivered via 3 mechanisms:

- Self-developed training
- NREL Admin Training
- National training conferences

The goal behind the self-developed training will be not only education but a sustainability component that helps with the transition of staff at the local level. Some of these topics would include:

- Intake
- Client File Management
- Reporting
- Budgeting
- Program Management

**Client Education**

In PY 20 Utah WAP collaborated with the Governor's Office of Energy Development to develop 7 educational videos. These videos are meant to supplement the client education for our network. If the shift to technology seems more effective we will look at other areas we can attempt to convert to video as well.

Utah is continuing to look at ways to deliver the required documentation and still effect some meaningful education of the client on

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energy usage.

Documents Attached:

Utah WAP Training Plan PY 22

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**

None.