



**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government

**10. Name of Federal Agency:**

U. S. Department of Energy

**11. Catalog of Federal Domestic Assistance Number:**

81.042

CFDA Title:

Weatherization Assistance Program

**12. Funding Opportunity Number:**

DE-FOA-0002016

Title:

2016 Weatherization Assistance Funding Opportunity

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

District of Columbia

**15. Descriptive Title of Applicant's Project:**

The District has participated in the US Department of Energy's (DOE) Weatherization Assistance Program for over 30 years. The Department of Energy and Environment enables low-income families to permanently reduce their energy bills by making their homes more energy efficient .

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**16. Congressional District Of:**

a. Applicant: District of Columbia At-Large Congressional District      b. Program/Project: DC-Statewide

Attach an additional list of Program/Project Congressional Districts if needed:

**17. Proposed Project:**

a. Start Date: 10/01/2016      b. End Date: 09/30/2017

**18. Estimated Funding (\$):**

a. Federal	597,118.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	597,118.00

**19. Is Application subject to Review By State Under Executive Order 12372 Process?:**

- a. This application was made available to the State under the Executive Order 12372 Process for review on: 01/14/2016
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372

**20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)**

No

**21. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code Title 218, Section 1001)**

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: Mr      First Name: Tommy

Middle Name:

Last Name: Wells

Suffix:

Title: Director

Telephone Number: 2025352615      Fax Number: 2025352881

Email: Tommy.Wells@dc.gov

Signature of Authorized Representative: Signed Electronically      Date Signed:

**U.S. DEPARTMENT OF ENERGY**



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: District of Columbia  
Award number: EE0006145

Budget period: 10/01/2016 - 09/30/2017

**1. PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

<u>Position</u>	<u>Description of Duties of Professionals</u>
Branch Chief	Oversees the energy efficiency programs managed by the Energy Efficiency and Conservation Branch
Auditor and Inspector	Conducts Energy Audits and Quality Control Inspections for the District's weatherization program.
Auditor and Inspector	Conducts Energy Audits and Quality Control Inspections for the District's weatherization program.
Associate Director	Oversight of all the Energy Efficiency and Affordability Division's residential and commercial energy efficiency programs.
Budget Analyst	Assist in the financial monitoring of the Weatherization Assistance Program

**Direct Personnel Compensation:**

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Branch Chief	\$96,756.00	16.0000 % FT	\$15,480.96
Auditor and Inspector	\$77,877.20	51.0000 % FT	\$39,717.37
Auditor and Inspector	\$69,337.65	50.5503 % FT	\$35,050.39
Associate Director	\$115,369.02	16.0000 % FT	\$18,459.04
Budget Analyst	\$107,022.89	16.0000 % FT	\$17,123.66
		<b>Direct Pay Total</b>	<b>\$125,831.42</b>

**2. FRINGE BENEFITS**

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.
  
- b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

Comp Source Group  
 Comp Object  
 Percentage allocation -% for 24.00 % - FY 16 Est.  
 0014 (FRINGE BENEFITS - CURR PERSONNEL)  
 0141 (GROUP LIFE INSURANCE)  
 0.06%  
  
 0142 (HEALTH BENEFITS)  
 10.61%  
  
 0147 (MISC FRINGE BENEFITS)  
 0.00%  
  
 0148 (RETIREMENT CONTRIBUTION - FICA)  
 5.77%  
  
 0152 (RETIREMENT CONTRIBUTION - CIVIL SERVICE)  
 0.61%  
  
 0154 (OPTICAL PLAN)  
 0.08%  
  
 0155 (DENTAL PLAN)  
 0.31%  
  
 0157 (PREPAID LEGAL)  
 0.11%  
  
 0158 (MEDICARE CONTRIBUTION)  
 1.39%  
  
 0159 (RETIREMENT)  
 4.44%  
  
 0160 (DC METRO BENEFITS)  
 0.12%  
  
 0161 (DC HEALTH BENEFIT FEES)  
 0.50%  
 Grand Total  
  
 24.00%

## Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Branch Chief	\$15,480.96	24.0000 %	\$3,715.43
Auditor and Inspector	\$39,717.37	24.0000 %	\$9,532.17
Auditor and Inspector	\$35,050.39	24.0000 %	\$8,412.09
Associate Director	\$18,459.04	24.0000 %	\$4,430.17

Budget Analyst	\$17,123.66	24.0000 %	\$4,109.68
		Fringe Benefits Total	\$30,199.54

**3. TRAVEL**

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
Affordable Comfort Conference	2	\$1,400.00	\$2,800.00
NASCAP Annual Conference	4	\$1,200.00	\$4,800.00
The National Energy and Utility Affordability Conference (NEUAC)	3	\$800.00	\$2,400.00
		Travel Total	\$10,000.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

The basis for computation of travel expenses (e.g. current airline quotes, past trips, federal or organization travel policy, etc.). Travel is consistent with the District of Columbia travel policy. The National Energy and Utility Affordability Conference (NEUAC) - 3 persons - 4 days- air transportation, lodging, subsistence \*\*

Affordable Comfort Conference - 2 persons - 4 days - air transportation, lodging, subsistence \*\*

NASCAP Annual Conference - 4 persons - 4 days - air transportation, lodging, subsistence \*\*

\*\*A portion of the travel will be covered under the United States Health and Human Services (US HHS) program. Any additional training and/or courses that are needed will be covered using leveraged funds.

Travel related to monitoring: The subgrantee(s) are local, so budgeted funds are not needed for monitoring purposes. All subgrantees are required to maintain an office in the District which will allow DDOE to utilize District Government Fleet vehicles at no cost to the US DOE grant.

**4. EQUIPMENT** - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
N/A	\$0.00	0	\$0.00	
			\$0.00	

- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

N/A

**5. SUPPLIES** - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category	Cost	Justification of Need
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b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

N/A

**6. CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e weatherization subgrants, Annual File section II.3).

Name of Proposed Sub	Total Cost	Basis of Cost*
United Planning Organization	\$431,087.00	Installation of audit recommended energy efficiency measures in income eligible District residences
Contracts and Subgrants Total	\$431,087.00	

\*For example, Competitive, Historical, Quote, Catalog

**7. OTHER DIRECT COSTS** - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need.

General Description	Cost	Justification of Need
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b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

DOEE does not have other direct costs and utilizes leveraged funds to cover any additional costs.

**8. INDIRECT COSTS**

a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

There are no indirect cost and no basis for computation rates.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: Olga Provotorova

Phone Number: 2026712302

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006145		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address District of Columbia 1200 First Street NE Washington, DC 200020000		4. Program/Project Start Date 10/01/2016	5. Completion Date 09/30/2017

**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		\$ 597,118.00		\$ 597,118.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 597,118.00	\$ 0.00	\$ 597,118.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 24,077.35	\$ 0.00	\$ 45,629.75	\$ 0.00	\$ 125,831.45
b. Benefits	\$ 5,778.56	\$ 0.00	\$ 10,951.14	\$ 0.00	\$ 30,199.55
c. Travel	\$ 0.00	\$ 0.00	\$ 10,000.00	\$ 0.00	\$ 10,000.00
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	\$ 0.00	\$ 29,855.00	\$ 0.00	\$ 66,580.00	\$ 431,087.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 29,855.91	\$ 29,855.00	\$ 66,580.89	\$ 66,580.00	\$ 597,118.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 29,855.91	\$ 29,855.00	\$ 66,580.89	\$ 66,580.00	\$ 597,118.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006145		2. Program/Project Title Weatherization Assistance Program	
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SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 597,118.00	\$ 0.00	\$ 597,118.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) LEVERAGIN G	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 56,124.35	\$ 125,831.45
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 13,469.85	\$ 30,199.55
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10,000.00
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	\$ 314,652.00	\$ 10,000.00	\$ 10,000.00	\$ 0.00	\$ 431,087.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 314,652.00	\$ 10,000.00	\$ 10,000.00	\$ 69,594.20	\$ 597,118.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 314,652.00	\$ 10,000.00	\$ 10,000.00	\$ 69,594.20	\$ 597,118.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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

(Grant Number: EE0006145, State: DC, Program Year: 2016)

**IV.1 Subgrantees**

Subgrantee (City)	Planned Funds/Units
United Planning Organization (Washington)	\$431,088.40 75
<b>Total:</b>	<b>\$431,088.40 75</b>

**IV.2 WAP Production Schedule**

Weatherization Plans	Units
Total Units (excluding reweatherized)	75
Rewatherized Units	0

Note: Planned units by quarter or category are no longer required, no information required for persons.

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	75
C	Total Units Rewatherized	00
D	Total Dwelling Units to be Weatherized and Rewatherized (B + C)	75
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	\$314,652.00
G	Total Dwelling Units to be Weatherized and Rewatherized (from line D)	75
H	Average Program Operations Costs per Unit (F divided by G)	\$4,195.36
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$4,195.36

**IV.3 Energy Savings**

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	75	29.3	2198
Prior Year Estimate	70	30.5	2135
Prior Year Actual	0	30.5	0

Method used to calculate savings description:

The total number of units to completed with the operations funds from DOE WAP funds multiplied by 30.5MBTU.

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

The DC Sustainable Energy Utility (DC SEU) is a private entity, subject to statute, that was contracted by the Department of Energy and Environment (DOEE) to design and implement energy efficiency and renewable energy programs in the District. Funding for the DC SEU is provided by the Sustainable Energy Trust Fund (SETF) on an annual basis. The DC SEU contract with the District is subject to the approval of the DC Council. The work done with the leveraged resources from the DC SEU is consistent with WAP objectives. The DC SEU is charged with providing detailed programmatic quarterly reports that must be submitted to the DC Council 45 days after the end of each quarter. DC SEU staff will inform DOEE of possible leveraging opportunities, especially in their auditing and energy efficiency

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

**(Grant Number: EE0006145, State: DC, Program Year: 2016)**

related programs. DOEE staff will report leveraging activities on the WAP Annual Training, Technical Assistance, Monitoring and Leveraging Report.

The DC SEU's Low Income Multifamily Direct Install Program provides low cost energy retrofits in income-qualified multifamily rental properties throughout the District. Typical measures include: energy efficient lighting upgrades, water heater tank wraps, faucet aerators, low-flow showerheads, and partial rebates for refrigerator and window air conditioner replacements.

The following is a brief description of a pilot program that DOEE is currently conducting that will provide a leveraging opportunity if funding is received to implement in Fiscal Year 2017:

The Solar Advantage Plus Program provides rebates to help low income District of Columbia residents install solar panels on their homes. The Solar Advantage Plus Program covers the full cost to install solar panels on single family homes owned or rented by low income District residents.

Program eligibility is based on federal low-income guidelines.

**Fiscal Year 2016 Leveraging Activities**

DOEE developed a partnership with YACHAD (<http://www.yachaddc.org/>) and Habitat for Humanity to assist with preserving the affordable housing stock throughout the District.

**Services Provided During Fiscal Year 2016:**

- XX single family homes weatherized through the YACHAD and Habitat for Humanity partnerships

**IV.5 Policy Advisory Council Members**

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

Dawn Smeriglio	Type of organization: Local agency Contact Name: Phone: 3012371178 Email: <a href="mailto:dsmerigl@dchousing.org">dsmerigl@dchousing.org</a>
Michael Thomas	Type of organization: Unit of State Government Contact Name: Michael Thomas Phone: 2023447585 Email: <a href="mailto:mft1485@gmail.com">mft1485@gmail.com</a>
Orlando Velez	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 9413234727 Email: <a href="mailto:orlandovelezgarcia@gmail.com">orlandovelezgarcia@gmail.com</a>
Racquel Jefferson	Type of organization: Other Contact Name: Phone: 2022702276 Email: <a href="mailto:racquelsj@gmail.com">racquelsj@gmail.com</a>
Stephen Oliver	Type of organization: Local agency Contact Name: Phone: 2024875667 Email: <a href="mailto:stephenmichaeloliver@yahoo.com">stephenmichaeloliver@yahoo.com</a>

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
03/28/2016	DOEE will post notice in the DC Register on February 26, 2016 that the Public Hearing will be held on March 28, 2016.

**IV.7 Miscellaneous**

Recipient Business Officer  
Tommy Wells, Director

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

**(Grant Number: EE0006145, State: DC, Program Year: 2016)**

1200 First Street NE, 5th Floor  
Washington, DC 20002  
(202) 535-2615 Office  
(202) 535-2881 Fax  
Tommy.Wells@dc.gov

**Principal Investigator**

Taresa Lawrence, Deputy Director  
1200 First Street NE, 5th Floor  
Washington, DC 20002  
(202) 671-3313 Office  
(202) 535-2881 Fax  
Taresa.Lawrence@dc.gov



**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**STATE PLAN/MASTER FILE WORKSHEET**  
**(Grant Number: EE0006145, State: DC, Program Year: 2016)**

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

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

The Department of Energy and Environment (DOEE) will weatherize dwelling units in which occupants live at or below 200% of the Federal Poverty Level or 60% of the District median income level, whichever is higher, as determined under the Weatherization Assistance Program (WAP) eligibility guidelines. Applicants who do not meet the income guidelines may receive weatherization assistance if they receive Supplemental Security Income or Aid to Families with Dependent Children.

Applicants must provide proof of income for all household members, which includes: recent payroll stub or other proof that shows current gross income for the last 30 days and is valid within the last 90 days; documentation showing income from Social Security, unemployment insurance, pension funds, disability, etc.; proof of present address (e.g., rent receipt, lease or deed, property tax bill); Proof of total members living in the household (e.g., birth certificates, school records); Social Security cards (or documents with Social Security number, such as a pay stub or birth certificate) for all persons living in the household; proof of US citizenship or permanent residence; and valid photo identification. These requirements are for both single and multifamily dwellings.

DOEE will provide services to those applicants who apply first. Historically DOEE has not had a waiting list to provide services. In the event that a waiting list develops, DOEE will undertake an Energy Assessment that gives preference to any one of the following (per 10 CFR § 440.1):

- Applicants over 60 years of age
- Families with one or more members with a disability
- Families with children under age 18
- High residential energy users
- Households with high energy burden

Additional documentation may be requested before the Energy Assessment to confirm this preference.

After a client's information is forwarded to the subgrantee responsible for providing weatherization services, the subgrantee may also give priority to clients who fall into the following categories:

- **Emergency:** A client is considered to be in an emergency situation when a genuine emergency exists which poses an imminent threat to the life, health, or property of the client, and when that emergency situation can be corrected by WAP services, and when other options to correct or alleviate the threat are unavailable or impractical.

- State or federal declaration of a disaster: In an instance that warrants the designation of an area as a disaster area, clients identified in that area may be offered general or specific services on a priority basis.

### **Describe what household Eligibility basis will be used in the Program**

DOEE will weatherize dwelling units in which occupants live at or below 200% of the Federal Poverty Level or 60% of the District median income level, whichever is higher, as determined under the WAP eligibility guidelines. Applicants who do not meet the income guidelines may receive weatherization assistance if they receive Supplemental Security Income or Aid to Families with Dependent Children.

After an applicant is approved for the installation of weatherization services based on income and/or household demographics, home ownership is verified through the District's Office of the Chief Financial Officer (OCFO) Real Property Tax Database. If the applicant resides in a rental property, the owner is contacted to verify the signature on the application. In addition, the applicant's address is researched to ensure that they have not received Weatherization Assistance since 1994 and to determine if the property is classified as historical through the District's Office of Planning Property Quest Database.

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

The process of determining eligibility for weatherization services begins after clients submit necessary documentation to confirm household composition, household income, and sources of income received. DOEE is in compliance with federal requirements and ensures that services are provided only to U.S. citizens or qualified aliens.

“Qualified aliens” are defined in Section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), commonly known as the welfare reform law. The PRWORA covers the larger groups of legal immigrants, groups that include legal permanent residents, refugees, accepted asylum seekers, individuals paroled into the U.S. for a period of at least 1 year, individuals whose deportation has been withheld, individuals granted conditional entry, and certain individuals who are victims of domestic abuse. Qualified aliens are eligible to receive assistance and services if they provide the following documents: Picture ID; Social Security card; proof of household income; and utility bills.

DOEE's services are in full compliance with federal provisions related to verification of qualified alien status. DOEE's procedures for verifying applicants' U.S. citizenship or immigration status are in accordance with the United States Department of Justice's (US DOJ) Interim Guidance on Verification of Citizenship, Qualified Alien Status and Eligibility under Title IV of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, published November 17, 1997 (62 FR 61344).

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

### **Procedures to determine that units weatherized have eligibility documentation**

DOEE's process is consistent with United States Department of Energy (US DOE) regulations, which allow grantees to use LIHEAP eligibility criteria as the basis of eligibility under WAP, provided that the LIHEAP basis is at least 200% of the federal poverty level or 60% of the District's median income level. Because WAP and LIHEAP are housed in the same office at DOEE, DOEE is able to closely monitor the low income households that have been certified as eligible by LIHEAP staff. Verification of the household income and WAP eligibility are recorded as part of a client's file.

### **Describe Reweathering compliance**

The American Recovery and Reinvestment Act (PL 1115) amended the US DOE weatherization requirements to allow for the reweatherization of homes that were originally weatherized prior to September 30, 1994. This provision allows DOEE the flexibility to revisit homes weatherized prior to 1994 that may not have received the full suite of weatherization services, including the use of an advanced energy audit. It also allows DOEE to determine if the households have weatherization related health and safety concerns.

Reweathering is also allowed under 10 CFR 440.18(f)(2)(ii) which states that if a "dwelling unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance."

### **Describe what structures are eligible for weatherization**

DOEE exercises caution in dealing with nontraditional dwelling units, such as shelters and apartments situated above businesses, to ensure that they meet program eligibility requirements. If DOEE determines that such a unit is eligible for weatherization, a request for approval will be sent to the US DOE Project Officer prior to commencing weatherization activities. If DOEE is aware of redevelopment, the dwelling(s) will not be weatherized.

### **Describe how Rental Units/Multifamily Buildings will be addressed**

DOEE follows 10 CFR 440.22 when addressing rental units and multifamily buildings. Multifamily structures must contain, at a minimum, 66% low income dwelling units. DOEE may provide an exemption to a large multifamily building if an initial official Energy Assessment determines that the building offers significant energy savings and there is not a significant DOEE investment to be made. In these cases, as few as 50% of the total units need to be certified as eligible in order to proceed with weatherization services. Exemptions to the 66% rule will be considered on a case-by-case basis and sent to the US DOE Project officer for prior approval.

Multifamily buildings must also have an agreement to prevent management from raising rents based solely on the WAP improvements. Owners may be required to contribute up to 25% of the WAP allocation for weatherization services. Owners are also required to buy down any

recommended measures to be installed from the audit that do not have a savings to investment ratio of at least 1. The 25% contribution can be funds allocated for additional weatherization services or proof of significant weatherization investment within the past three years.

Unoccupied multifamily buildings may only be weatherized if they become eligible dwelling units within 180 days of weatherization improvements to the building. These owners should enter into an agreement with the District of Columbia thirty (30) days prior to the date of initial installation. Owners have 180 days from the date of execution of this agreement to obtain the low income tenancy rate required. If the low income tenancy has not been obtained by the 180 day deadline, owners must reimburse the District for the weatherization measures installed. Buildings with only 20% low income eligible tenant occupancy will adhere to the same policies as an unoccupied multifamily dwelling.

In a case in which a single family dwelling unit is occupied by a renter, the renter must meet the eligibility requirements prior to the commencement of weatherization work. The owner of the dwelling unit must enter into an agreement that prevents raising rents based solely on WAP improvements. An owner may be required to contribute up to 25% of the WAP allocation for weatherization services.

### **Describe the deferral Process**

Per Weatherization Program Notice 11-6 (WPN 11-6), units may be deferred on a case-by-case basis. Reasons for deferral are identified at the time of the energy audit, prior to the commencement of weatherization work.

All DOEE and subgrantee clients who are deferred will be provided the Weatherization Assistance Program Applicant Notification of Deferral (attached to SF424) which includes: an explanation of the nature of the hazard and photographic documentation; the client's name and address; contact information for an appeal of the deferral decision; date of the audit/assessment; the date when the client was informed of the potential health and safety issues; and the signature of the Energy Auditor who conducted the audit. The client's signature is also required to indicate that the client understands his or her rights and options.

A copy of the deferral decision is given to the client and a copy is placed in DOEE's client file. The client's contact information is forwarded to the DHCD Single Family Rehabilitation Program. When the client meets program criteria, the client's information is forwarded to the following partner organizations: Community Forklift; Behren Builders; YACHAD; and the DHCD Lead Program.

After the client has addressed the hazardous or health and safety conditions, the client is eligible to reapply for the Weatherization Assistance Program. A second site visit is conducted to verify that the deferral conditions have been addressed.

In a case in which DOEE is aware of redevelopment, the dwelling (s) will not be weatherized.

### V.1.3 Definition of Children

Definition of children (below age):

### 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 c persons is equal.

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

The entire District of Columbia will be served. Eligible properties and residents will receive assistance regardless of location within the District of Columbia. DOEE competitively selects local 501(c)(3) nonprofits as subgrantees. General selection criteria are intended to follow federal regulations, including the following:

1. Each subgrantee is a Community Action Agency (CAA) or other public or nonprofit entity.
2. Each subgrantee is selected on the basis of public comment received during a public hearing conducted pursuant to § 440.14(a), and on the basis of other appropriate findings regarding:
  - a. The subgrantee's experience and performance in weatherization or housing renovation activities;
  - b. The subgrantee's experience in assisting low income persons in the area to be served; and
  - c. The subgrantee's capacity to undertake a timely and effective weatherization program.
3. In selecting a subgrantee, preference is given to a CAA or other public or nonprofit entity which has administered, or is currently administering, an effective program under the weatherization regulations or under title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors that include the following:
  - i. The extent to which the past or current program achieved or is achieving weatherization goals in a timely fashion;
  - ii. The quality of work performed by the subgrantee;
  - iii. The number, qualifications, and experience of the staff members of the subgrantee; and
  - iv. The ability of the subgrantee to secure volunteers, training participants, public service employment workers, and other Federal or State training programs.

4. DOEE ensures that the funds received under this part will be allocated to the entities selected in accordance with 10 CFR 440 and 600, and that funds will be allocated on the basis of the need for a weatherization project by low income persons;

5.. DOEE ensures that any new or additional subgrantee(s) shall be selected at a hearing in accordance with §440.14(a) and upon the basis of the criteria just above.

DOEE may terminate or reduce the grant award to a subgrantee if it determines that the subgrantee is not likely to implement the weatherization program fully. DOEE requires the completion of installation services at all assigned dwelling units prior to the end of the grant period. Grant awards may be terminated if subgrantees do not complete installation work within three months of dwelling unit assignments. In such cases an award may be allocated to other subgrantees. If a subgrantee fails to implement and abide by the agreed-upon grant activities or seeks to circumvent established procedures, its grant award may be terminated. All subgrantees in danger of receiving a notice of impending termination will receive written notice. They have an opportunity to appeal the decision to terminate. This appeal is to be made to the DOEE Director or the Director's designee.

Applicants for the Weatherization Assistance Program are vetted by DOEE to ensure that inappropriate reweatherization does not happen. When a customer is contacted to schedule an energy audit they are asked if: (a) they have ever received weatherization services from DOEE or any other government entity; and (b) their address is matched in the DOEE weatherization database.

### **V.3 Priorities for Service Delivery**

DOEE will provide services to those applicants who apply first. In the event that a waiting list arises, DOEE gives preference to any one of the following:

- An applicant over 60 years of age;
- Household with one or more members with a disability;
- Household with children under age 18;
- High residential energy household; or
- Household with a high energy burden.

In order to confirm the basis for a preference, DOEE may request documentation before the Energy Assessment.

As of October 1, 2015, the amount of WAP assistance per unit can be up to \$7,105.

### **V.4 Climatic Conditions**

On average, the District of Columbia's temperatures range from approximately 28 degrees Fahrenheit in the winter months to 90 degrees Fahrenheit in late summer months. Temperature extremes range from below 10 degrees Fahrenheit to 100 degrees Fahrenheit. During the coldest

months, December through March, the average temperature differential to overcome is 28 degrees Fahrenheit in order to maintain a minimal interior comfort level of 65 degrees Fahrenheit. The 30-year normal for the District, at the National Arboretum Weather Station,, made up of 4571 heating degree days and 1243 cooling degree days.

<https://www.huduser.gov/resources/utilitymodel/hdd.html>

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

### **V.5.1 Technical Guides and Materials**

DOEE will conduct energy audits using a US DOE approved audit tool in eligible dwellings participating in the Weatherization Assistance Program. After the audit is completed DOEE and subgrantee will begin the Quality Control Inspection (QCI) process by conducting a visual inspection to ensure cohesion with the audit report. The subgrantee is the first point of the QCI process. The subgrantee will review the audit report, monitor work-in-progress to ensure OSHA, lead, and other requirements, and inspect measures installed. After the inspector signs the QCI form (see attachment in SF-424) the form is submitted to DOEE. DOEE will conduct a secondary inspection on 10% of the homes if there is a high failure rate on measures installed.

Some of the primary measures to be considered are:

1. **Air Sealing Infiltration Reduction** – Infiltration will be reduced, minimizing air and heat movement between heated and unheated areas. DOEE will require measures such as caulking, foam sealant, insulation, weather-stripping to primary doors and windows, sealing of baseboards, correction of leaks in HVAC duct systems. It includes the application of other materials necessary to seal the envelope penetrations of the dwelling.
2. **Heating System Efficiency Improvements** – HVAC systems are to be tuned up, as needed, to improve efficiency and indoor air quality. Should a DOEE inspector with HVAC expertise determine that a dangerous health or safety condition exists, DOEE may decide on replacement rather than repair. In other cases, if age and condition of the system warrant, replacement rather than repair will be considered via a cost/benefit analysis.
3. **Attic Insulation and Venting** – Attics will be insulated to R49 if existing insulation is below R15. If existing insulation is above R16, replacement will be based upon the recommendation of the auditor. Attics that are insulated must have a dam installed and be vented according to the District’s Weatherization Field Guide.
4. **Insulation of Domestic Hot Water Heater** – Domestic hot water heaters will be insulated and the hot water pipes extending from the hot water heater will be wrapped for a distance of at least six feet. If exposed, the entire hot water line will be wrapped.
5. **Basement/Floor/Crawl Space Insulation** – Unheated basements will be insulated to R19. A vapor barrier will be installed where needed. Adequate ventilation will be provided for insulated basements and crawl spaces.
6. **Pipe and Duct Wrap** – Hot water pipes and hot air heating ducts located in unconditioned areas will be insulated.

7. Storm Windows – The installation of storm windows on primary windows between heated and unheated areas will be considered.
8. Refrigerators – The National Energy Audit Tool (NEAT) includes a refrigerator replacement measure. NEAT has the ability to evaluate the potential savings obtained from replacing an existing refrigerator with a newer, more efficient unit. In order to decide whether to replace a refrigerator, DOEE will use the NEAT auditing tool and will follow EPA guidelines for the replacement of appliances with Energy Star models. When refrigerators are replaced, subgrantees must provide a decommissioning certificate as evidence of proper disposal of the existing refrigerator. Replacement of through-the-door ice maker refrigerators or standalone freezers are considered.
9. Air Conditioners – Air conditioners rated at 13 SEER or higher may be installed. New air conditioners use 30% 50% less energy to produce the same amount of cooling as do air conditioners made in the 1970s. Even if the air conditioner is only 10 years old, a customer could save 20% 40% of cooling energy cost with a newer, more efficient model. This measure may also be considered under Health & Safety measures.
10. Water Heater Replacement – DOEE uses NEAT to evaluate the cost effectiveness of replacing an existing water heater with a higher efficiency model. This measure may also be considered under Health & Safety measures.
11. Lighting – New lighting systems will be considered. The use of new lighting technology can reduce the lighting energy use in homes by 50% 75%.

Weatherization installation services will be performed in homes that are in reasonable condition. In some cases, homes present extreme conditions such as roof deterioration, plumbing failures, or faulty heating distribution systems. DOEE will require repair before proceeding with the US DOE-funded measures.

In accordance with 10 CFR 440.18(c)(ii) and 440.20, low-cost/no-cost weatherization materials may be distributed to eligible clients. These measures are intended to be installed by clients until regular WAP weatherization measures can be installed by subgrantees.

All subgrantees will receive a copy of the DOEE Field Guide “Standard Work Specifications Field Guide for Single-Family Homes” (Field Guide)(2015) during the annual Energy Kickoff Meeting. Subgrantee installations must follow the Field Guide’s incorporated Standard Work Specifications (SWS) of the US DOE’s Weatherization Program Notice (WPN) 15-4, Section 2. Subgrantees must acknowledge receipt of the Field Guide and agree to provide a copy to their subcontractors and/or in-house crews prior to beginning weatherization work.

During the monitoring visit, subgrantees are required to provide DOEE with a copy of their subcontractor and vendor agreements to ensure that contractors are aware of and in compliance with US DOE technical requirements and specifications of work. In addition, the audit reports for the single and multi-family dwellings incorporate the specific Standard Work Specification (SWS) for each measure and each subgrantee is required to sign each report acknowledging pricing and scope of work.

DOEE provides subgrantees with the technical requirements for field work including: audits/testing; installation of energy conservation, health and safety and incidental repair

measures; and final inspections. The subgrantee will confirm receipt of those requirements and provide follow-up and clarification upon request. The subgrantee will provide the same documentation to all contractors, subcontractors, and/or in-house personnel performing tasks in the Weatherization Assistance Program.

DOEE verified that the technical requirements are communicated and the specifications for work to be inspected will be referenced in subgrantee contracts. Contractors hired by the subgrantee will have agreements that include the same technical requirements referenced above. The work of the subgrantee and contractor are required to be consistent with the DOEE and US DOE standards and field guides.

The signed contracts must be submitted to DOEE during or prior to DOEE management’s yearly monitoring visit to each of the subgrantee’s offices to ensure DOEE's continued compliance with the US DOE’s Program Year 2016 requirements.

There are five Building Performance Institute (BPI) Certified Quality Control Inspectors (QCIs) who work on behalf of DOEE to inspect 10% of the total number of units completed. Two BPI Certified Quality Control Inspectors work for the subgrantee to monitor that work is in progress and completed. When the subgrantee and/or DOEE’s QCI fail to adequately monitor and inspect the work in accordance to the DOEE Field Guide, the following occurs:

1. The QCI work is inspected by another party to determine if this is a one-time incident or a pattern of non-compliance.
  1. In cases of a one-time incident, a verbal notice is given to encourage additional training.
  2. In cases where a pattern exists, the QCI is required to attend training within the next 30 days from an IREC-accredited facility for Energy Auditor and Quality Control classes and they will be shadowed for a period of 30 days after training to determine if they should be referred to BPI as not meeting the criteria to maintain their certification.

The DC Field Guide and SWS Alignment was approved by US DOE on October 2, 2015. See links below:

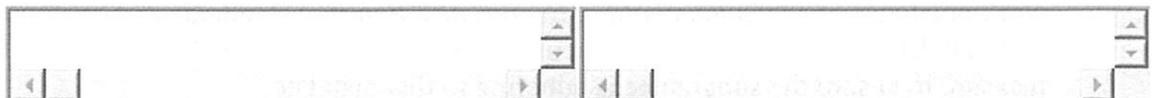
For Single Family SWS click [here](#).

For Multi Family SWS click [here](#).

### V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family



Manufactured Housing	
Multi-Family	

1 in

## Comments

A US DOE approved audit will be conducted on each eligible dwelling by a qualified energy auditor. DOEE's Weatherization Request for Applications (RFA) and Subgrantee Award Notices state that the subgrantee may be requested to perform an energy audit at a cost not to exceed \$450 per unit, if needed.

The audit process includes a pre- and post-blower door reading and ensures that every participating home is given the best possible recommendations for energy conservation. DOEE ensures that each energy audit meets US DOE guidelines and is performed in each participating home by a qualified energy auditor. The purpose of the audit is to determine the most cost effective energy saving measures for each dwelling unit. TREAT audits are completed for all multifamily buildings with five or more units. Audit recommended measures are prioritized according to Savings to Investment Ratio (SIR) rankings.

### V.5.3 Final Inspection

US DOE requires that every dwelling unit receive a final inspection before it can be reported as a completed unit. US DOE also requires (per Weatherization Program Notice 15-4) that by the beginning of the US DOE 2015 Program Year, all units reported to US DOE as completed will have been inspected to ensure compliance with the specifications outlined in the SWS, and all quality control inspections, including final inspections and monitoring inspections, be conducted and signed off by a certified QCI.

All work orders are generated to include the specific corresponding SWS to ensure that the subgrantee, subcontractor, and/or in-house crews install measures and perform work in accordance to the standard. In addition, each report includes the following language: “[a]ll contractors must perform lead safe work practices and adhere to Occupational Safety and Health Administration (OSHA) health and safety requirements. All weatherization work should be installed per DC Construction Code, US DOE SWS and DOEE’s Field Guide. The subgrantee QCI is solely responsible for monitoring the work in progress to ensure all OSHA, lead safe work practices, and lead *Renovation, Repair, and Painting* standards and compliance are being met. DOEE is responsible for conducting monitoring visits of 10% of the clients as an extra measure to ensure the subgrantee is adhering to this mandate.

No dwelling unit may be reported to DOEE or US DOE as completed until all weatherization materials have been installed and the subgrantee or its authorized representative has performed final inspection(s), including any certified mechanical work performed and completed in a high quality and professional manner in accordance with priority determined by approved WAP audit procedures.

Subgrantees will conduct final inspections on 100% of all dwelling units weatherized before reporting them as completed units. A signature by a subgrantee staff member is required to certify that work for reported units was completed in accordance with the requirements of the 10 CFR 440 standards.

Quality checks conducted by DOEE and the subgrantee are prerequisites to an issue of payment to the subgrantee. Overall, DOEE will inspect at least 10% of all completed units per year to ensure that reported completions are in compliance with these standards. For each job, however, the subgrantee must undertake a review that includes a signed Client Satisfaction Survey and a “passed” final inspection using the subgrantee’s Final Inspection Form. The Final Inspection Form addresses each installed measure and the customer and the inspector are required to sign. Only a passing inspection may be submitted along with other documentation for a “completed” job that qualifies for reimbursement.

To ensure overall customer satisfaction, work quality, and adherence to US DOE standards of 10 CFR 440.16, independent BPI-certified QCIs inspect and monitor quality control during and after subgrantee work is completed. Subgrantees must provide DOEE with a work schedule to ensure that the following quality control objectives are met and the job tasks are accomplished:

### **Domain 1: Conducting Quality Checks in Process Visual/Sensory Inspections**

Task 1: Verify worker compliance with safety rules

Task 2: Assure worker professionalism

Task 3: Address work problems

Task 4: Evaluate client satisfaction regarding the in process work

### **Domain II: Conducting Quality Checks Post Work Visual/Sensory Inspection**

Task 1: Review client file and the work scope

Task 2: Perform an exterior and interior visual/sensory inspection

Task 3: Evaluate client satisfaction

Task 4: Determine pass/fail of the work

### **Domain III: Conducting Quality Checks Post Work Diagnostic Inspections**

Task 1: Conduct health and safety tests

Task 2: Conduct diagnostic tests

Task 3: Identify work problems

**Domain IV: Ensuring Worker Professionalism**

Task 1: Perform spot checks

Task 2: Provide feedback regarding professionalism

**Domain V: Ensuring Program or Project Compliance**

Task 1: Maintain professional credentials

Task 2: Confirm the allocation of public/private funds

Task 3: Evaluate installed measures against the field guide, SWS and state/local codes

Task 4: Close out the project

Task 5: Maintain files and records

All subgrantee contracts must include the following language to ensure compliance with WPN 15-4:

"All measures and incidental repairs performed on client homes must meet the specifications, objectives and desired outcomes outlined in the Standard Work Specifications for Home Energy Upgrades (SWS)."

These field standards must meet or exceed the minimum standards outlined in the SWS including: audits/testing; installation of energy conservation, health and safety and incidental repair measures; and final inspections. The contractor must confirm receipt of these requirements and provide follow-up and clarification upon request. A signature on a contract/award can serve as proof of receipt.

QCIs working for, or contracted by, the WAP must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory's (NREL) Job Task Analysis (JTA) for QCIs. This applies to all individuals who perform an evaluation and sign-off on work performed in homes including final inspectors, subgrantee, and grantee monitoring staff.

Dwelling Specific Requirements Below:

**Single Family:**

- QCI competency is demonstrated by certification as a Home Energy Professional Quality Control Inspector
- QCIs can be employed by third-party organizations or subgrantees; however, the grantee is ultimately responsible for ensuring that every unit reported to the U.S. DOE meets quality guidelines required by the WAP.
- DOEE must provide in their training plan a policy for validation of the QCI credentials.
- The grantee must have policies and procedures in place to address situations where a QCI is not inspecting units using the standards adopted by the grantee and consistent with the SWS. This policy must include monitoring of the QCI and procedures for disciplinary action if the grantee inspection protocols are not followed.

### **Multifamily:**

- Training plans must include requirements to ensure that QCIs working in multifamily buildings attend, and receive a successful evaluation from, a training program delivering a curriculum based on the NREL Multifamily Quality Control Inspector JTA.

Tasks that are not listed in the SWS are not subject to this requirement.

In addition, as part of DOEE's agreement with the subgrantee, subgrantees are required to ensure their contractors adhere to the guidance as outlined in the US DOE-approved Field Guide and SWS alignment. Please see the Program Year 2015 executed contract between subgrantee and subcontractor which incorporates this language. (Uploaded in the SF-424)

### **V.6 Weatherization Analysis of Effectiveness**

Since the inception of the WAP, DOEE has utilized subgrantees to weatherize over 10,000 housing dwelling units in the District of Columbia. Subgrantees have played an integral part in the success of WAP through their many years of experience in residential energy efficiency improvements.

In order to keep an updated evaluation of each subgrantee, DOEE is developing a detailed management system that requires subgrantees to provide monthly production and financial status reports. The Program Manager oversees their activities and arranges for training and technical assistance when necessary. Analysis of records includes the following:

1. Number of homes completed
2. Number of applications pending
3. Number of homes in progress
4. Contract amount
5. Total funds expended
6. Balance of funds
7. Special comments

DOEE is developing a monitoring tracking system that tracks the monitoring visits scheduled and completed. DOEE currently maintains the monitoring files, which include all the

subcontracts and related information from which staff can obtain a current and complete financial picture.

Each subgrantee will be monitored and evaluated on site at least once during the grant year. DOEE plans to inspect at least 10% of the houses weatherized in the District during the year. Subgrantee performance is reviewed both periodically and at the end of the program year.

DOEE will cooperate with US DOE as the federal agency implements a national evaluation project.

DOEE, through the Energy Efficiency and Conservation Branch, places a strong emphasis on ensuring that the WAP is effective and efficient at all levels. DOEE conducts training and monitoring activities on an ongoing basis to evaluate subgrantees' procedures, timeliness, quality of work, and overall program management. Through this process, DOEE is able to effectively assess the training needs of subgrantees' staff and subcontractors.

DOEE will require the subgrantee and its contractors to attend US DOE conferences and training, and WAP-run management and customer education trainings. In addition, the subgrantee must prove, and maintain the supporting documentation, that all field workers have successfully completed the following training courses prior to performing weatherization services:

1. Weatherization fundamentals/tactics;
2. Lead safe weatherization (LSW);
3. LEAD safety for renovation, repair, and painting;
4. OSHA and WAP health and safety requirements; and
5. Building Performance Institute (BPI) Quality Control Inspector Certification.

## **V.7 Health and Safety**

US DOE has mandated that states develop, publish, and implement procedures to allow WAP funds to be used for health and safety risk mitigation. Energy related health and safety concerns are those hazards that are necessary to be removed before, or because of, the installation of weatherization measures. Therefore, health and safety hazards associated with weatherization activities are allowed to be removed or prevented with US DOE funds. Measures and costs are defined in the grant award documents in order to avoid any misunderstanding of the primary purpose of the program, energy efficiency and conservation. DOEE will continue to be prudent in our oversight of the funds used by subgrantees for health and safety mitigation on homes weatherized.

DOEE will use other funds, including LIHEAP and District general funds, to address eligible health and safety program measures. DOEE anticipates leveraging these funds to purchase the

diagnostic equipment necessary to detect health and safety concerns in weatherization applicants' dwellings.

US DOE funds will not be used for Health & Safety (H&S) activities unless all other funding sources have been exhausted, and when the H&S costs does not exceed \$182.

DOEE will carefully monitor subgrantee expenditures to ensure that the amount allocated to address Energy Related Health and Safety costs does not exceed \$182 per unit.

Subgrantees must comply with the Occupational Safety and Health Administration (OSHA) and Safety Data Sheets (SDS) requirements in all weatherization activities pursuant to the revised Hazard Communication Standard (HCS) 29 CFR 1910, 1200 (attached in SF 424), and take precautions to ensure the health and safety of themselves and others. Wherever workers or residents may be exposed to hazardous materials subgrantees, contractors, and subcontractors will develop and maintain a written hazard communication program conforming to the HCS 29 CFR 1910, 1200. Subgrantees, shall ensure that:

All hazardous chemicals in the workplace are listed,

All containers of hazardous chemicals are labeled;

Safety data sheets are maintained for all hazardous chemicals, and

Workers are informed and trained on program elements, hazards, and protective measures.

In addition, subgrantees must adhere to the standards in DOEE's Health and Safety Plan to ensure that expenditures are allocated appropriately.

#### A. Grantee Health and Safety (DOEE Staff)

Funds provided under 10 CFR 440.18 of the WAP regulations are used to eliminate health and safety hazards. Health and safety measures must be addressed prior to the installation of weatherization material. These funds are to be expended by subgrantees for direct weatherization activities.

#### B. Contractor and Crew Health and Safety (Subgrantees and Contractors)

Subgrantees must comply with Occupational Safety and Health Administration (OSHA) requirements in all weatherization activities. Subcontractors, contractors, and in-house crews employed by subgrantees are expected to comply with OSHA. This requirement is a part of the subcontractor's bidding process. Related costs for subgrantees to comply with OSHA requirements are to be charged under a separate health and safety budget category.

#### C. Client Health and Safety

DOEE has considered the need to mitigate potential energy related health and safety hazards that may occur in a client's home. A list of the most common hazards and the preferred approach is discussed below. Other energy related hazards may be considered on a case-by-case basis. The most threatening and potentially serious hazards are related to combustion appliances. To address these hazards DOEE requires energy auditors to test the combustion appliances in a home pre- and post-air tightening. This procedure consists of testing carbon monoxide levels in the flue/vent and near the exhaust of unvented appliances, draft-ability of flues, startup spillage at flues, adequacy of combustion air, and testing for fuel leaks.

**D. Remediation Materials**

Remediation materials are defined as materials, measures, and/or the equipment necessary to reduce or eliminate existing or potential health and safety hazards.

These include:

1. Replacement furnace;
2. Combustion device vent connector when original is rusted out or unable to safely vent the products of combustion from a combustion device;
3. Materials necessary to repair a downspout leaking into a basement and causing a moisture, mold and wood rotting problem;
4. Materials necessary to repair the section of a gutter causing a moisture, mold and wood rotting problem;
5. Replacement space heaters; and
6. Materials necessary to address electrical hazards when the problem prevents adequate weatherization.

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Allowed Measure	Estimated Cost
Installation/Repair of exhaust fans in kitchens and bathrooms in accordance with ASHRAE 62.2 protocol	\$425.00
Correcting/Repairing improper or ineffective HVAC venting (such as installing a chimney liner)	\$290.00
Repairing/Replacing HVAC units in homes where at risk, medically certified/necessitated occupants dwell	\$600.00
Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions	\$100.00
Minor correction of moisture and mold creating conditions when necessary to ensure the long-term stability	

and durability of the weatherization measures and the clients' long-term health and safety	\$100.00
Minor electrical repairs/upgrades necessary for weatherization measures and where the health and safety of the occupant is at risk	\$300.00

Gutter or downspout work when necessary to keep rain water out of the dwelling to stop or prevent moisture/mold mildew conditions per DOE Standard Work Specifications	\$100.00
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**E. Remediation Costs**

The maximum allowable expenditure for remediation of health and safety hazards in the District of Columbia may not exceed \$182.00 per residence. This cost is a part of the maximum expenditure allowance. US DOE funds are to be used for energy-related health and safety remediation only. Subgrantees should seek other funding to remediate non-energy-related health and safety hazards.

**F. Reporting Requirements**

Related costs for subgrantees to comply with OSHA requirements are to be charged under a separate health and safety budget category. This policy is issued with the knowledge that as experience is gained in health and safety hazard identification, modifications and improvements to remediation methods will be made.

**G. Incidental Repair**

Those repairs necessary for the effective performance or preservation of weatherization materials will be addressed. Such repairs include framing or repairing windows and doors that could not otherwise be caulked or weather-stripped, and providing protective materials, such as paint, to seal materials installed under this program. Program policies strictly prohibit roof replacements, structural repairs, or other non-energy related rehabilitation work. Units requiring this type of repair will be deferred to the District's Department of Housing and Community Development (DHCD) Rehabilitation Program. All incidental repairs (listing is attached to the SF-424) will be justified in the client file along with an explanation for their need and relationship to a specific energy conservation measure (ECM).

**H. Subgrantee Health & Safety Allocation**

Historically, DOEE has not had to use the allotted 15% percent in health and safety funds due to other leveraging programs (LIHEAP and District general funds) that can pay for health and safety measures under program operations. All homes are addressed in a holistic manner, and in cases of a Savings to Investment Ratio (SIR) greater than 1, the heating or cooling appliances are

covered under WAP Program Operations. When the SIR test is not met, DOEE may pay for these measures with District general funds.

## I. ASHRAE 62.2

DOEE will utilize the ASHRAE 62.2 2013 standard to the fullest extent possible to meet the minimum requirements for mechanical and natural ventilation intended to provide acceptable indoor air quality in all homes weatherized. The ventilation system may consist of continuously operating bathroom and/or kitchen exhaust fans, a supply-only system or a balanced system. The required airflow is measured following installation of the ventilation system to assure that the desired airflow has been achieved.

DOEE will use the following calculator: The ASHRAE calculation sheet will be generated internally (see attachment in SF424).

### Multifamily Buildings

1. Whole building ventilation rates are applied on per unit basis;
2. No infiltration credit on multifamily buildings;
3. Corridor ventilation of 6 cfm per 100 sq. ft.;
4. All envelope components must be sealed between units;
5. Bathroom or kitchen exhaust fans may also serve as the whole building ventilation fan as long as the fan satisfies the minimum requirements for both the local and whole building ventilation;
6. A single supply fan may serve multiple units if it is continuously operated or if a backdraft damper is included at each unit to prevent cross contamination;
7. For common garage ventilation, an exhaust rate of 4 CFM per 100 sq. ft. is required for attached common garages with an exemption if two or more walls are open to the outside; and
8. All units, regardless of fuel, types have CO alarm(s) installed:
  - a. Outside of each separated dwelling unit's sleeping area in the immediate vicinity of the bedroom(s); and
  - b. On every level of a dwelling unit, including the basement

DOEE has implemented a detailed Health and Safety Plan to include allowed incidental repairs. Please refer to Attachment in the SF-424. In addition DOEE does not approve partial weatherization.

## V.8 Program Management

### **V.8.1 Overview and Organization**

In Program Year 1994, the District of Columbia's Weatherization Assistance Program (WAP) for low income households was transferred from the Department of Housing and Community Development (DHCD) to the DC Energy Office. In 2006, under the authority of DC Law 1651, the Department of Energy and Environment (DOEE) was formed through a merger of the DC Government's Environmental Health Administration, the DC Energy Office, policy functions of the Tree Management Administration and policy functions of the Office of Recycling. The weatherization component operates under DOEE's Energy Efficiency and Conservation Branch (EECB). This agency has accumulated a wealth of experience in operating LIHEAP and WAP weatherization programs. DOEE has utilized proven and effective methods in performing energy audits and has enlisted several subgrantees to implement weatherization activities. Moving forward, DOEE intends to utilize additional auditing tools to enhance program capabilities, including the NEAT and TREAT tools.

A copy of the A-133 District Audit can be obtained at the following link: <http://cfo.dc.gov/node/292522> the Fiscal Year 2016 has not been uploaded to date. The subgrantee's A-133 will be sent to the Project Officer once completed.

### **V.8.2 Administrative Expenditure Limits**

DOEE adheres to 10 CFR 440 §440.18 (e) which states:

"Not more than 10 percent of any grant made to a State may be used by the grantee and subgrantees for administrative purposes in carrying out duties under this part, except that not more than 5 percent may be used by the State for such purposes, and not less than 5 percent must be made available to subgrantees by States. A State may provide in its annual plan for recipients of grants of less than \$350,000 to use up to an additional 5 percent of such grants for administration if the State has determined that such recipient requires such additional amount to implement effectively the administrative requirements established by US DOE pursuant to this part."

DOEE has determined that the District's subgrantees conforming to this paragraph may require additional administrative funds to effectively implement US DOE requirements. For a grant for which the subgrantee receives less than \$350,000, DOEE will consider providing an additional 5% for administrative costs.

### **V.8.3 Monitoring Activities**

DOEE's monitoring activities are designed to maintain accountability for WAP resources and to identify processes to improve the program's operation and services. DOEE's monitoring goals of subgrantees are to ensure program compliance and accountability, excellent workmanship, and to determine the quality and effectiveness of the work on completed dwellings. DOEE will address with each subgrantee the problems, deficiencies, and areas needing improvement that are

identified through the monitoring process and will provide the assistance needed to improve program operations and regulatory compliance.

The goals of monitoring are to: analyze whether the best possible program services are being delivered to the low-income population; assess strengths and weaknesses of all aspects of the local program; determine program compliance and accountability; be a tool for program improvement; identify problems, deficiencies, and areas that need improvement within subgrantee operations; assist subgrantees in their program operations and compliance with US DOE and District of Columbia regulations; advise subgrantees on how to correct weaknesses and deficiencies; and assess the need for training and technical assistance to improve subgrantee's service delivery, cost-effectiveness, and accountability.

DOEE will perform a yearly monitoring review of the fiscal, programmatic, and field functions of subgrantees through a DOEE approved Monitoring Tool. Any and all findings, from periodic monitoring, will be reported to the appropriate project officer on a monthly basis, unless the findings are so egregious, that they must be reported immediately.

#### Desktop Reviews:

DOEE Program Manager will review subgrantee records and client files annually. For action items, the Program Manager will require subgrantee responses and, if necessary, correction. For severe issues, the Program Manager will continue a review that concentrates on prior deficiencies and required corrective actions.

The Program Manager will review monthly reports and track production and expenditures on a monthly basis through the weatherization tracking system. Additionally, the Program Manager will review monthly reports for accuracy and compliance.

#### Agency Monitoring Visits:

Fiscal monitoring will occur once per year per subgrantee. The fiscal monitoring will be conducted by the Program Manager or Branch Chief. This monitoring will review all of the fiscal operations of a subgrantee's weatherization program. This monitoring will also include review and verification to help eliminate fraud, waste, and abuse, including a review of the subgrantee's financial audits (A-133 or equivalent).

Financial Monitoring will occur during the 2<sup>nd</sup> and 4<sup>th</sup> quarter to ensure proper accounting of program budget(s).

Program Monitoring of each subgrantee will typically occur formally once per year and informally on a monthly basis. Program monitoring will be conducted by the designated Program Manager and will be program specific and include the review and verification of subgrantee client information, expenditures, crew/contractor safety policies and procedures (including but not limited to compliance with OSHA-10, OSHA-30, LSW and RRP), and compliance with DOEE standards. This is advertised in the Request for Applications (FRA) for the subgrant and in the Grant Award Notice (GAN).

Field Monitoring will occur throughout the year for each subgrantee. Field monitoring will be conducted by DOEE's BPI QCIs. Individual job inspections will be performed and recorded using a Post Inspection Form. Jobs will be inspected for overall effectiveness, workmanship, appearance, and compliance with the Weatherization Field Guide. An overall assessment of subgrantee field practices will be performed using the Standard Work Specifications (SWS). The SWS tool will be used to identify major strengths, major field findings, and trends for concerns which will assist DOEE to eliminate fraud, waste, and abuse. In cases where significant deficiencies exist, the subgrantee will be monitored more frequently and an action plan will be put into place to determine if they meet the requirement to continue the management of weatherization program activities.

If DOEE identifies significant deficiencies, the subgrantee will be monitored more frequently to address the deficiencies and in some cases termination of the GAN, if deemed necessary. All monitoring reports will be submitted to the subgrantee within 30 days of the visit. The subgrantee shall submit to DOEE concerns or comments within 15 days of receipt of the monitoring report, and DOEE will respond to those concerns or comments within 10 days.

### **Subgrantee Inspection Responsibilities**

Subgrantees are required to have a BPI QCI inspect 100% of all completed units to determine compliance with DOEE quality standards and to ensure proper documentation of client information, job measures and costs. DOEE advises its subgrantees that inspections must be performed by a person who did not perform the actual work on the job, must be thorough, effective, and are instrumental in evaluating subgrantee performance.

### **Findings**

Findings may result in the requirement of additional training for the subgrantee staff, contractors, subcontractors, and vendors.

Major finding: noncompliance issues of significant concern, such as health and safety, potential liability, misuse of funds, or consistently failing to follow program rules, standards, or specifications (e.g., such as whole house weatherization). DOEE will report any such findings to US DOE on a monthly basis. If the findings are egregious, they will be reported to US DOE immediately.

Minor finding: noncompliance issues of secondary concern, such as small file omissions (e.g., no date on form), procedural items that can be quickly or easily corrected, or work quality issues that can be easily corrected and do not significantly impact the overall quality of work performed (e.g., failure to insulate the first five feet of hot water pipe from the water heater).

### **At Risk**

Performance: subgrantees can be designated as At Risk status for serious management and/or consistent substandard field performance, including: program goals are not being met; program resources cannot be accounted for; indications of misuse of funds, fraud, or theft; not in

compliance with program policies and procedures; files and records are severely incomplete and disorganized; repeated negative findings with no or minimal improvement from a previous monitoring visit; or unresponsiveness to DOEE requests and deadlines. When designating a subgrantee under an At Risk status, DOEE will specify improvements that must be made by the subgrantee. Subgrantees will be instructed to submit a plan to identify the steps and timelines to be taken to make the noted improvements. When appropriate, related training and technical assistance will be provided. DOEE will consider suspension or termination of the subgrantee award unless the specified improvements in management and/or field practices are instituted by the subgrantee in a specified period of time. DOEE will report any At Risk subgrantee to US DOE immediately.

#### Quality Work Plan (WPN 15-4 Requirements)

DOEE will conduct an Energy Audit on each client home that is considered eligible for WAP. A client file including the NEAT, Data Collection, Efficiency Testing Printout, CAZ Testing, Work Order, ASHRAE calculation sheet, and the QCI Checklist will be sent to the subgrantee. The subgrantee will begin the QCI process by scheduling an appointment with the client to conduct a visual inspection and verifying the items on the work order. If there are no changes to the work order, then the work order will be forwarded to the selected contractor. The subgrantee QCI will monitor the work-in-progress to ensure compliance with OSHA-10, OSHA-30, LSW and RRP. The subgrantee will also ensure that work is installed based on the Field Guide and SWS requirements. The subgrantee will sign off on the QCI Checklist and submit the report to DOEE upon completion. Once DOEE is notified that the work is completed, the DOEE internal QCI (not the original auditor) will conduct a secondary inspection on 10% of the completed homes to verify the accuracy of the QCI checklist and the submitted contractor invoice(s). If DOEE notices a high failure rate, the inspection percentage will increase accordingly and we will follow the protocol for addressing inaccuracy on QCI reporting.

US DOE funds are used to cover a portion of salaries for personnel to conduct financial monitoring and quality control inspections.

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

Training and Technical Assistance (T&TA) activities are intended to maintain and increase the efficiency, quality, and effectiveness of the Weatherization Program at all levels.

DOEE developed an internal Subgrantee Training Plan based on US DOE recommendations, monitoring visits, and field inspections. The Training Plan ensures that all Tier 1 training paid with WAP Training and Technical Assistance (T&TA) funds, meets the requirements of the Weatherization Program Notice 15-4, Section 4.

DOEE links subgrantees to training resources throughout the year on a variety of energy related topics. When topics involve a change in existing policies and procedures (e.g., new database, changes to audit protocols), or emphasize an important program area, subgrantee attendance may be mandatory. When training is mandatory, all parties are expected to assign the most

appropriate person to attend. If a subgrantee has any doubt regarding attendance, they are required to consult with DOEE immediately.

The following training sessions are mandatory for the positions stated below. If a subgrantee hires a new employee into one of these positions, or a current employee transfers into one of these positions, it is mandatory that the person receive this training within six months of their start date (unless they have already received it). These mandatory training sessions must be repeated every three years by subgrantee personnel who occupy these positions:

1. Single and Multifamily Energy Auditor Course is mandatory for energy auditors, post inspectors, and crew personnel;
2. Single Family Crew Leader Course is mandatory for weatherization directors and crew chiefs;
3. Single Family Retrofit Installer Technician Course is mandatory for contractors, subcontractors, subgrantee vendors, and crew personnel;
4. Single and Multifamily Quality Control Inspector Course is mandatory for energy auditors, post inspectors, and contractors;
5. Multifamily Retrofit Project Manager Course is mandatory for subgrantee weatherization directors; and
6. Lead Safe Weatherization Practices Certification is mandatory for all employees who may come in contact with lead based paint while performing their duties.

Health and Safety courses, as outlined in the Training Plan (attached to SF424), will be conducted by DOEE personnel or subcontractors. The Training Plan requires certification to be submitted 120 Days after the Grant Award Notice. The certifications are tracked through our internal database system.

Based on performance additional training may be required to continue with weatherization activities. An analysis will be conducted to determine if the work performed did not meet the standards or if a pattern of poor performance exist. In instances where poor performance is identified as an pattern, the subgrantee is required to complete Tier 1 and 2 training activities within the next 60 days after being informed of the findings.

The selected subgrantee in-house personnel will receive the necessary training to be in compliance with DOEE training plan once the funding becomes available. In addition, the subgrantee is in the process of obtaining their Interstate Renewable Energy Council (IREC) accreditation to enhance their current training program. Community Housing Partners, an IREC accredited facility, will continue to provide the subgrantee with the necessary training to stay abreast of any new program guidance and/or updates as needed. The subgrantee has also been certified through BPI to instruct and administer the Building Science and Analyst exams which will allow them to train new hires. The current T&TA budget reflects the projected costs to train any new subcontractor and newly recruited in-house personnel so they may be in compliance with DOEE standards. The DOEE Request for Applications (RFA) outlines the training requirements and each subgrantee is required to adhere to this requirement by signing their individual grant award. During the DOEE monitoring visit, DOEE requests the listing of

all trainings and certifications their subcontractors and/or in house crews attended and obtained from the personnel who differ from the time of their proposal submission.

DOEE and subgrantee personnel in professional positions must be certified by the Building Performance Institute (BPI). Beginning in FY15, DOEE required all applicants for the subgrantee award to have the above training completed before applying for funding. DOEE requires this in its RFA and in the Training Plan attached to the SF424. DOEE internal staff currently includes five (5) and the subgrantee has two (2) BPI certified QCIs on their staff as well.

Leveraged funds have been allotted to provide staff with the necessary training courses and US DOE's T & TA funds will be utilized to attend US DOE recommended conferences. T&TA funds may be used to train DOEE staff and subgrantee contractors except in cases where the employee has already failed the certification two times. T&TA funds will only be used to retake the exam one time and the employee is required to cover the cost to take the exam in additional times. In making the determination to pay for contractor training, subgrantees must formally agree with their contractors that, in exchange for training the contractors will work in the DOEE WAP Program for a specific amount of time, to align with the cost of the T&TA provided. DOEE requires subgrantee(s) to submit training request(s) to the DOEE Program Manager for approval prior to expending US DOE T&TA Funds (see the Training Request Form attached to SF-424).

In the event that a subgrantee's staff member is unable to attend DOEE training courses, they are still required to meet certification within 120 days of the Grant Award Notice (GAN).

DOEE determines the subgrantees' effectiveness, skills, and abilities through field and programmatic monitoring activities. The goal is to determine whether US DOE funds are being used to the maximum extent possible on energy efficiency and conservation measures. In addition, the subgrantee is required to show adequate proof of client education and utilization of leveraging opportunities to address applicants in a holistic approach.

DOEE provides client education throughout the weatherization application process. DOEE staff show applicants how to install energy saving measures, such as caulking, weather-stripping for doors and windows, door sweeps, checking and changing furnace filters. DOEE staff review ideas on how to effortlessly incorporate energy saving practices into client lifestyles. Each eligible client receives a kit that contains weatherization items, and instructions for them, such as caulk and caulk gun, plastic storm windows, compact fluorescent bulbs and weather-stripping for doors and windows. Finally, when the auditor comes to the residence to conduct the energy audit, the client receives an informational packet and a copy of EPA's "The Lead Safe Certified Guide to Renovate Right". The auditor walks the client through the home, and advises them of ways to improve energy efficiency and possible health and safety concerns.

As a quality control measure, DOEE asks clients to sign an acknowledgement of the auditor visit (per attachment to the SF-424) and receipt of the lead information.

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

The District's Energy Assurance Plan (EAP) provides information on how the District and DOEE will respond in case of an energy emergency. The EAP promotes the resilience of the District's energy systems in order to reduce the system's vulnerabilities. The EAP also outlines DOEE's role in promoting policies and programs that enhance the District's energy systems.

The EAP addresses:

1. The types of energy emergencies that can occur in the District;
2. Who responds to an energy emergency;
3. The actions required when an energy emergency occurs;
4. Critical infrastructure development and the promotion of policies; and
5. Programs that enhance the resiliency of District energy systems.

The Energy Assurance Plan is attached to the SF-424. If there are any changes or updates they will be sent to US DOE's Project Officer for review.