

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

(Grant Number: EE0007946, State: PA, Program Year: 2019)

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

Eligibility Determination

- A. A dwelling unit is eligible for weatherization services only if:
 1. A person living within the dwelling unit, regardless of age, has received cash assistance payments under Title IV or XVI of the Social Security Act at any time during the 12-month period preceding the Eligibility Determination for weatherization assistance (see Section A. ii, "Eligibility by Title IV or XVI of the Social Security Act"); or
 2. The total annual income of all occupants living together within the dwelling unit is at or below 200 percent of the Federal Poverty Income Guidelines (FPIGs) as established by the US Department of Health and Human Services Office of Management and Budget for the 12-month period preceding the Eligibility Determination.
 1. Subgrantees are responsible for updating the FPIGs they have on record as often as they are updated on the website of the U.S. Department of Health and Human Services.
 2. Income Eligibility is calculated using income of the prior 12 months for all occupants residing in the dwelling unit.
 3. Regardless of when a person begins occupying a client's dwelling unit, the income of all persons occupying the dwelling unit at the time of Eligibility Determination must be included for the entire previous twelve months.
 4. The FPIGs are generally updated once a year at the beginning of the calendar year.
 3. The current version can be found at: <http://aspe.hhs.gov/poverty/index.shtml>.
 1. Eligibility by Title IV or XVI of the Social Security Act
 - i. Title IV of the Social Security Act refers to Temporary Assistance for Needy Families (TANF) while Title XVI of the Social Security Act refers to Supplemental Security Income (SSI).
 - ii. Eligibility under TANF or SSI is automatic, regardless of the age of the recipient and income verification is not necessary, but proof of eligibility must be conducted.
 - a. Note: Social Security Disability Insurance (SSDI) is covered under Title II of the Social Security Act and is not addressed in 10 CFR 400 or DOE guidance; therefore SSDI payments are included as income.
 2. All applicants are U.S. Citizens or Qualified Aliens
 - i. PA WAP will abide by section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) – H.R.3734 passed by the 104th Congress, commonly known as the welfare reform law. The act covers larger groups of qualified aliens.
 - ii. Qualified aliens are eligible to receive assistance and services under the WAP and LIHEAP programs so long as they meet all other WAP and LIHEAP requirements. Proof of identity is required.
 - iii. Subgrantees should refer to H.R. 3734 for guidance on qualified aliens.

Income Determination

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

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- B. Income Exclusions: The following cash receipts are not considered sources of income for the purposes of determining income eligibility:
1. Capital gains
 2. Any assets drawn down as withdrawals from a bank
 3. Money received from the sale of property, house, or car
 4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty
 5. Tax refunds
 6. Gifts, loans, or lump-sum inheritances
 7. College scholarships
 8. One-time insurance payments, or compensation for injury
 9. The value of food and fuel produced and consumed on farms
 10. The imputed value of rent from owner-occupied non-farm or farm housing;
 11. Depreciation for farm or business assets;
 12. Combat zone pay to the military
 13. Reverse Mortgages
 14. Payments for the care of Foster Children
 15. Child Support - Whether received by the Payee or paid by the Payor, child support payments are not considered sources of Income for the purposes of determining income eligibility.
 - i. Payee: Child support received by a Payee from any state program or individual during an applicable tax year is not considered income (and is excluded) for the purposes of determining eligibility.
 - ii. Payor: Child support paid by a Payor through a state program and/or to an individual may not be deducted from income (and is included) for the purposes of determining eligibility.
 16. Non-cash benefits
 - i. Non-cash benefits refer to benefits that the client does not pay as cash or receive as cash. These may include:
 - a. Employee fringe benefits, food, or housing received in lieu of wages;
 - b. The employer- or union-paid portion of health insurance;
 - c. The non-cash components of Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance.
 - d. Deductions from a paycheck are not considered non-cash and would, therefore, be included. Examples include:
 1. Included as Income: If a client's regular social security is \$10,000 per year, but 10% is automatically deducted for Medicare, then the client only receives \$9,000. When figuring income for WAP, though, this client's annual income from Social Security is \$10,000, not \$9,000 because this is not considered a non-cash benefit.
 2. Excluded from Income: If the same client receives, through Medicare, non-cash medical services (prescription drugs, a surgery, or some other non-cash service) valuing \$30,000, these services would be excluded because they are non-cash benefits. In this case, the client's income is still \$10,000, not \$40,000.

Income Eligibility Verification Sign-Off

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

Income Eligibility Validation Period

- A. Weatherization validation periods defined:
 - a. Weatherization services in the dwelling unit are considered to begin on the date of the audit.
 - b. For reporting purposes, weatherization services in the dwelling unit are considered to be complete when marked complete in Hancock.
- B. Income Eligibility Validation Period

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1. Eligibility Determination should occur no earlier than twelve months prior to the completion of weatherization services in the dwelling unit.
 - i. If circumstances prevent the completion within the twelve-month timeframe from the date of the audit and work has begun, there must be documentation in the client file explaining the reason/s for the delay and eligibility would remain valid.
 - ii. If the audit has been conducted but no work started, eligibility determination is only valid for twelve months from the audit date and eligibility must be re-determined.

Proof of Income

- A. Subgrantees must acquire proof of eligibility and thoroughly document in the Client File all aspects of Eligibility Determination and Proof.
 1. Methods of Proof
 - i. The following subsections are non-exhaustive collections of examples of documents providing proof of eligibility; as such other forms of eligibility proof may exist or in some cases, the listed methods may be inadequate. Regardless of these examples, subgrantees are responsible for proving eligibility.
 - ii. Proof of LIHEAP eligibility is not adequate proof of eligibility for WAP, except when DCED specifically instructs otherwise (for certain rare time-sensitive special projects, DCED may give specific instructions that allow subgrantees to prove WAP eligibility through LIHEAP eligibility).
 - iii. LIHEAP Crisis eligibility is documented by the completed Crisis Interface Referral Form.
 - iv. No matter what method is used, proof of eligibility must be thoroughly established and fully and completely documented in the Client File.
 - v. Any document signature requiring notarization may be either:
 - a. Notarized; or
 - b. Witnessed by a subgrantee representative, but only if:
 1. The person(s) signing the document(s) provide valid proof of identity (this proof of identity must be documented with the signed documents); and
 2. The subgrantee representative signs and dates the document(s) as a witness to verify the identity of the person (s) signing the document(s).
 2. Proof of Eligibility for Title IV or XVI of the Social Security Act
 1. Title IV, Temporary Assistance for Needy Families (TANF): Statement from local Department of Public Welfare office
 2. Title XVI, SSI, Supplemental Security Income
 - i. Statement from the local Social Security Office, using Form SSA-3288 (or a "benefit verification letter") requesting the appropriate benefits information.
 - ii. Statement from the Social Security Administration (SSA) by requesting a "Proof of Income Letter" through the SSA website.
 - iii. Applicable "Notices of Benefit Amount," received in December, and describing the following year's monthly benefit.
 - iv. A W-2 or 1099 may be used to verify income for the prior 12 months at any point during the calendar year **if 12 months of income can be verified. This verification can be partially from the W-2 or 1099 and the other portion must be the other months' proof of income, i.e., pay stubs, pensions, or self-certification.** When reviewing a W-2, the Earnings Summary should also be reviewed to confirm the gross earned income amount before any elective deferrals.
 3. Regular Social Security Benefits
 - i. Any of the items listed above for SSI
 - ii. Copies of social security checks or bank statements showing direct deposits (if Medicare or other payments are deducted these should be added to the total)
- C. Income Documentation
 1. Wages or Salaries
 - i. Statement from employer stating wages, rate of compensation, or pay stubs
 - ii. A W-2 or 1099 may be used to verify income for the prior 12 months at any point during the calendar year **if 12 months of income can be verified. This verification can be partially from the W-2 or 1099 and the other portion must be the other months' proof of income, i.e., pay stubs, pensions or self-certification** When reviewing a W-2, the Earnings Summary should also be reviewed to confirm the gross earned income amount before any elective deferrals.
 - iii. Self-Employment/Business Income
 - a. Notarized documentation providing a detailed description of gross income received, less expenses (i.e. net income)
 - b. Quarterly or annual signed tax forms (including appropriate schedules)
 - c. If the subgrantee becomes aware of a business operated from the private residence or a commercial location, the business owner must provide proof of net income as identified in the Eligibility Determination section
 2. Dividends, Interest, Royalties, Rents, Income from Estates or Trusts: Written documentation from the business or organization and/or legal entity from which the income has been generated.
 3. Unemployment Benefits, Pensions, Insurance and Annuities, Worker's Compensation, Strike Benefits
 - i. Documentation must be generated by the appropriate legal entity

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- ii. Statement from local Unemployment Compensation office
- iii. If taxes are not withheld, Notice of Determination (Unemployment Compensation) checks or bank statements showing direct deposits of Unemployment Compensation for the previous twelve months or for the period for which benefits were received. If taxes are withheld, this income should be converted to the pre-tax level.
- 4. Net Rental Income
 - i. Net Rental Income is defined as Gross Rental Income receipts less Rental Expenses. Proof of Net Rental Income can be provided by one of the methods listed below.
 - ii. Copy of prior year tax return showing net rental income.
 - iii. Copies of any agreement or lease which specifies the client's name, effective dates, and rental amount along with copies of expenditure receipts
 - iv. If the prior year tax return or rental agreements are not available, then one of the following methods may be used to document net rental income
 - a. Copies of receipts issued to tenants along with copies of expenditure receipts
 - b. Notarized statement describing any rental agreements and including the client's name, effective dates, and all net rental income
- 5. Self-certification: If no other method of documenting income eligibility exists, self-certification is allowable, but evidence of the various attempts at proving eligibility must be contained in the client file, including a notarized statement signed by the client indicating that the client has no other proof of income.
- 6. All documents used to determine income eligibility must be uploaded to Hancock.

Proof of Property Ownership

A. Client-Owned Dwelling Units

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

B. Rental-Occupied Dwelling Units

- 1. Subgrantees must establish procedures to meet the requirements in 10 CFR 440.22.
 - i. Weatherization services conducted on rental units, including units where tenants pay for their energy through their rent must primarily benefit tenants who can qualify as eligible clients.
 - ii. No undue or excessive enhancement shall occur to the value of the dwelling unit.
 - iii. Weatherization of eligible multi-unit buildings needs to demonstrate in detail that the benefits of the weatherization work accrue primarily to the eligible tenants
- iv. Rent
 - a. A client who does not own his/her own dwelling unit (that is, a client who is a tenant) must provide proof of the amount of rent he/she pays monthly.
 - 1. Clients must prove their monthly rent by providing subgrantees with at least one of the following:
 - i. Canceled rent checks that clearly indicate the checks are for monthly rent;
 - ii. A lease that clearly indicates the amount of monthly rent;
 - iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).
 - 2. Tenants who refuse to provide this information must be deferred.
 - 3. The Client's File must contain the amount and proof of monthly rent.
 - 4. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on the rental unit primarily benefit the eligible client.
 - i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.
 - ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.
 - iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for

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determining that weatherization services primarily benefit the eligible client.

- v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.
 - vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agent and tenant to ensure that:
 - a. The client is current with all rent due to the landlord; and
 - b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.
- C. Buildings Containing Multiple Rental Dwelling Units
- 1. For determining eligibility, Multi-Family Buildings are defined as those containing 5 or more units or certain buildings with 2-4 units with shared heating systems and/or common areas to include shared attic and/or basements
 - 2. The entire building may be weatherized if at least 66% (50% for duplexes and four-unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 - 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 - 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 - 5. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- D. Documentation of Eligibility of Rental Dwelling Units
- A. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.
 - 1. Landlord Information: the name, address, and phone number of a client's landlord must be documented in Hancock in the "Landlord Information" section of the "Client Information" tab.
 - 2. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within Hancock. For example, "1234 Main St" should be consistently entered into Hancock as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 - ii. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's Hancock "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in Hancock.

Client Appeals & Complaints Process for Client-Owned and Rental Properties

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

Proof of Identity

- A. Verification of Identity
 - 1. Subgrantees must use Photo ID to verify the identity of all clients. Acceptable Photo ID types include (but not limited to):
 - i. Drivers Licenses or other state photo identity cards issued by the PA Department of Motor Vehicles (or equivalent)

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- ii. U.S. passport
 - iii. U.S. passport card
 - iv. U.S. Military ID (active duty or retired military and their dependents, and Department of Defense civilians)
 - v. Permanent Resident Card
 - vi. A Native American Tribal Photo ID
2. If no Photo ID is available, there must be documentation supporting the client's reason for no ID and client must sign self-declaration.
3. Subgrantees must verify that the client's Photo ID matches both the client and the client's name on the application for weatherization.
- i. Photo ID verification must occur at the time of the audit.
 - ii. Clients must be physically present during the audit.
4. Documentation of Photo ID
- i. Subgrantees must document in the Client File the Photo ID type and number on the client's Photo ID.
 - ii. Subgrantees must document in the Client File that the Photo ID matches both the client and the client's name on the application.
 - iii. Clients who are unable to verify their identity through an acceptable Photo ID must self-declare their identity with a signed statement. No weatherization services may occur at a home until an eligible client provides adequate and matching Photo ID or a signed statement explaining that the client does not have Photo ID but that the client is the one who applied for the weatherization services and are a resident of the home.
- B. Social Security Number
- 1. Because of their confidential nature, subgrantees must make every effort to protect the security of all collected Social Security numbers.
 - 2. Subgrantees will not enter Social Security Numbers (SSN) in the system under any circumstances. Subgrantees will review all documents for SSN and redact any SSN before uploading in to the Hancock Software system.

Describe what household eligibility basis will be used in the Program

Eligibility Determination

- A. A dwelling unit is eligible for weatherization services only if:
- 1. A person living within the dwelling unit, regardless of age, has received cash assistance payments under Title IV or XVI of the Social Security Act at any time during the 12-month period preceding the Eligibility Determination for weatherization assistance (see Section A. ii, "Eligibility by Title IV or XVI of the Social Security Act"); or
 - 2. The total annual income of all occupants living together within the dwelling unit is at or below 200 percent of the Federal Poverty Income Guidelines (FPIGs) as established by the US Department of Health and Human Services Office of Management and Budget for the 12-month period preceding the Eligibility Determination.
 - i. The FPIGs are generally updated once a year at the beginning of the calendar year.
 - ii. The current version can be found at: <http://aspe.hhs.gov/poverty/index.shtml>.
 - iii. Subgrantees are responsible for updating the FPIGs they have on record as often as they are updated on the website of the U.S. Department of Health and Human Services.
 - iv. Income Eligibility is calculated using income of the prior 12 months for all occupants residing in the dwelling unit. W-2's should be used to obtain the income information along with any other documentation needed to record the entire income during the period examined. When reviewing a W-2, the Earnings Summary should also be reviewed to confirm the gross earned income amount before any elective deferrals.
 - v. Regardless of when a person begins occupying a client's dwelling unit, the income of all persons occupying the dwelling unit at the time of Eligibility Determination must be included for the entire previous twelve months.
 - 3. Eligibility by Title IV or XVI of the Social Security Act
 - i. Title IV of the Social Security Act refers to Temporary Assistance for Needy Families (TANF) while Title XVI of the Social Security Act refers to Supplemental Security Income (SSI).
 - ii. Eligibility under TANF or SSI is automatic, regardless of the age of the recipient and income verification is not necessary, but proof of eligibility must be conducted.
 - a. Note: Social Security Disability Insurance (SSDI) is covered under Title II of the Social Security Act and is not addressed in 10 CFR 400 or DOE guidance; therefore SSDI payments are included as income.

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

All applicants are U.S. Citizens or Qualified Aliens

A. PA WAP will abide by section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) – H.R.3734

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passed by the 104th Congress, commonly known as the welfare reform law. The act covers larger groups of qualified aliens.

B. Qualified aliens are eligible to receive assistance and services under the WAP and LIHEAP programs so long as they meet all other WAP and LIHEAP requirements. Proof of identity is required.

C. Subgrantees should refer to H.R. 3734 for guidance on qualified aliens.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

I. Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2- 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
 - 1. The Property must be the primary residence of the client(s)
 - 2. All residents must provide proof of income as defined above in Section - Client Income Eligibility.
 - 3. The entire building may be weatherized if at least 50% for duplexes and four-unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 - 4. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
 - 1. Multi-Family Buildings are defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements
 - 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
 - 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 - 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 - 5. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Weatherizing of non-traditional type dwellings such as shelters and apartments over businesses will be reviewed on a case-by-case basis. Please submit request to the DCED main mailbox at ra-wxmail@pa.gov.
- D. Multi-family units will be reviewed on a case-by-case basis as well.
 - 1. Please refer to WPN 16-5 Multifamily Weatherization and the FAQs for the definition of multi-family housing. Multifamily is defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements.

Proof of Property Ownership

- A. Client-Owned Dwelling Units
 - 1. A client who owns his/her own dwelling unit must provide proof of ownership.
 - 2. Ownership Verification: Ownership must be verified and documented by any means available, examples include:
 - i. Photocopy of the deed or Mobile Home Title
 - ii. The deed number and page number found in the deed book
 - iii. Copy of the real estate tax bill
 - iv. Mortgage bill that includes the client's name and property address
 - v. Copy of water or sewer bill if it has been determined that the bill is sent to owners only
 - vi. Verification through the County Recorder of Deeds
 - vii. Verification through a government-sponsored online source
- B. Rental-Occupied Dwelling Units
 - 1. Subgrantees must establish procedures to meet the requirements in 10 CFR 440.22.
 - i. Weatherization services conducted on rental units, including units where tenants pay for their energy through their rent must primarily benefit tenants who can qualify as eligible clients.
 - ii. No undue or excessive enhancement shall occur to the value of the dwelling unit.

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- iii. Weatherization of eligible multi-unit buildings needs to demonstrate in detail that the benefits of the weatherization work accrue primarily to the eligible tenants
- iv. Rent
 - a. A client who does not own his/her own dwelling unit (that is, a client who is a tenant) must provide proof of the amount of rent he/she pays monthly.
 - 1. Clients must prove their monthly rent by providing subgrantees with at least one of the following:
 - i. Canceled rent checks that clearly indicate the checks are for monthly rent;
 - ii. A lease that clearly indicates the amount of monthly rent;
 - iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).
 - 2. Tenants who refuse to provide this information must be deferred.
 - 3. The Client's File must contain the amount and proof of monthly rent.
 - 4. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on the rental unit primarily benefit the eligible client.
 - i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.
 - ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.
 - iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for determining that weatherization services primarily benefit the eligible client.
 - v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.
 - vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agent and tenant to ensure that:
 - a. The client is current with all rent due to the landlord; and
 - b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.
- C. Buildings Containing Multiple Rental Dwelling Units
 - 1. For determining eligibility, Multi-Family Buildings are defined as those containing 5 or more units or certain buildings with 2-4 units with shared heating systems and/or common areas to include shared basements and/or attics
 - 2. The entire building may be weatherized if at least 66% (50% for duplexes and four-unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 - 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 - 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 - 5. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable cost
- D. Documentation of Eligibility of Rental Dwelling Units
 - A. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.
 - 1. Landlord Information: the name, address, and phone number of a client's landlord must be documented in Hancock in the "Landlord Information" section of the "Client Information" tab.
 - 2. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within Hancock. For example, "1234 Main St" should be consistently entered into Hancock as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 - ii. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's Hancock "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in Hancock.

Describe Reweathering compliance

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Weatherizing Previously Weatherized Units

- A. Eligibility of Previously Weatherized Dwelling Units: Re-weatherization, as defined by the Pennsylvania Weatherization Standards and Field Manual, is strictly prohibited, except:
1. If a previously weatherized dwelling unit has been damaged by fire, flood, or act of God, the event is declared a Federal or State disaster, and repair of the damage to weatherization materials is not paid with insurance, then re-weatherization is allowable.
 - i. DCED may provide specific instructions in these cases.
 - ii. When applicable, subgrantees must follow the Department of Energy guidance found in WPN 12-7.
 - iii. Subgrantees must thoroughly document in the Client File their rationale for providing re-weatherization to the client.
 2. If a dwelling unit has received weatherization services from September 30, 1975 through September 30, 1994, then re-weatherization is allowable.
 - i. Such dwelling units must be reported separately as re-weatherized units, but may be counted as completions.
- B. Such dwelling units must receive a new energy audit that takes into account any previous energy conservation improvements to the dwelling unit.

Describe what structures are eligible for weatherization

PA WAP includes the following structures:

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

Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2- 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
1. The Property must be the primary residence of the client(s)
 2. All residents must provide proof of income as defined above in Section - Client Income Eligibility.
 3. The entire building may be weatherized if at least 50% for duplexes and four-unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 4. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
1. Multi-Family Buildings are defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements
 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 5. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Weatherizing of non-traditional type dwellings such as shelters and apartments over businesses will be reviewed on a case-by-case basis. Please submit request to the DCED main mailbox at ra-wxmail@pa.gov.
- D. Multi-family units will be reviewed on a case-by-case basis as well.
1. Please refer to WPN 16-5 Multifamily Weatherization and the FAQs for the definition of multi-family housing. Multifamily is defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements.

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

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

Compliance with National Historic Preservation Act

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

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

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

*Except for ground level basement or cellar windows

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

Describe how Rental Units/Multifamily Buildings will be addressed

Rental-Occupied Dwelling Units

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

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- i. Canceled rent checks that clearly indicate the checks are for monthly rent;
 - ii. A lease that clearly indicates the amount of monthly rent;
 - iii. If neither canceled checks nor a lease are available, a notarized statement signed by the renter and landlord indicating the amount of rent the client pays monthly. In this case (when neither canceled checks nor a lease is available), the statement may be included with the Landlord/Tenant Agreement (see "Landlord/Tenant Agreement" below).
 2. Tenants who refuse to provide this information must be deferred.
 3. The Client's File must contain the amount and proof of monthly rent.
 4. Subgrantees must investigate any client whose monthly rent is less than \$250 to ensure that weatherization services conducted on the rental unit primarily benefit the eligible client.
 - i. Subgrantees may not provide weatherization services within a dwelling unit if the weatherization services would not primarily benefit the eligible client.
 - ii. Subgrantees must thoroughly document in the Client File their investigation and rationale for deciding whether to provide weatherization services within such a dwelling unit.
 - iii. A subgrantee's investigation may be as simple as documenting that the client is participating in a government subsidized housing program (for example, Section 8) or that the client pays all utilities and property tax, but no rental fees. Regardless, the Client File must clearly indicate and explain the subgrantee's rationale for determining that weatherization services primarily benefit the eligible client.
 - v. Owner Permission: Subgrantees must obtain written permission from the unit's owner or authorized agent with ownership proof before conducting weatherization services.
 - vi. Landlord/Tenant Agreement: A notarized agreement must be signed by both the owner/agent and tenant to ensure that:
 - a. The client is current with all rent due to the landlord; and
 - b. During the weatherization process and for 18 months after weatherization is complete, the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that such rent increases or eviction is related to matters other than the weatherization work performed.
- B. Buildings Containing Multiple Rental Dwelling Units
 1. For determining eligibility, Multi-Family Buildings are defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas
 2. The entire building may be weatherized if at least 66% (50% for duplexes and four-unit buildings) of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 5. Subgrantees who provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Documentation of Eligibility of Rental Dwelling Units
 - A. Subgrantees must document all aspects of Rental Dwelling Unit eligibility in the Client File.
 1. Landlord Information: the name, address, and phone number of a client's landlord must be documented in Hancock in the "Landlord Information" section of the "Client Information" tab.
 2. Buildings Containing Multiple Dwelling Units
 - i. Subgrantees must ensure that all street addresses of buildings containing multiple dwelling units are typed and spelled consistently within Hancock. For example, "1234 Main St" should be consistently entered into Hancock as "1234 Main St" not as "1234 Main St." or "1234 Main Street."
 - ii. For buildings containing five or fewer weatherized dwelling units, each dwelling unit's Hancock "job" must reference all other weatherized dwelling units in the building.
 - a. References to other dwelling units must include: the name of the client within the dwelling unit, the job number, the exact address, and the unit number.
 - b. These references to other dwelling units should be entered in the "Comments" section of the "Client Information" tab in Hancock.

Client Appeals & Complaints Process for Client-Owned and Rental Properties

- A. The Client Appeals Process must indicate that it was given to the client at the time of application and must have a client sign-off.
- B. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Appeals Process, and the sign-off must indicate that the client has received and understands the Client Appeals Process.
- C. The Client Appeals Process must present a clear order in which the client may appeal any weatherization services-based decision or action with which the client disagrees.
- D. Except for the Center for Community Services' contact, the Client Appeals Process must contain the name, mailing address, phone number, and email address of all individuals or offices listed.
- E. The Client Appeals Process must detail that the Center for Community Services may only be contacted in writing and must include the office and the address by which that office should be contacted. The client appeal submission to the Center for Community Services must include

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details regarding the agency's involvement and responses to the client appeal. The client Appeals Process must not include the phone number or email address of the Center for Community Services staff.

- F. Client Complaint Process
- a. Agency is responsible for developing a Client Complaint process to be followed if client is not happy with the quality of the work, workmanship, or serviceability.
 - b. The Client Complaint Process must indicate that it was given to the client at the time of application and must have a client sign-off.
 - c. Every client, regardless of whether the client has been deferred or not, must receive a copy of the Client Complaint Process, and the sign-off must indicate that the client has received and understands the Client Complaint Process.
 - d. Although all client complaints must be documented in the individual file, client complaints must also be tracked by date to resolution in an Excel tracking system in which all complaints can be reviewed in one place.

Eligibility of Property Structures for Weatherization Services

- A. A manufactured/mobile dwelling unit or a single family (up to and including 2- 4 unit buildings with separate heating systems and no common areas) is eligible for weatherization services if all of the following conditions are met
1. The Property must be the primary residence of the client(s)
 2. All residents must provide proof of income as defined above in Section - Client Income Eligibility.
 3. The entire building may be weatherized if at least 50% for duplexes and four-unit buildings of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days.
 4. The manufactured/mobile dwelling unit must be considered permanent. Permanent foundation means a foundation constructed in accordance with the prescriptive provisions of the adopted building code or, when required, designed by a licensed professional engineer. A permanent foundation shall have attachment points to anchor and stabilize the home to transfer all code required loads to the underlying soil or rock.
- B. Buildings Containing Multiple Dwelling Units
1. Multi-Family Buildings are defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements
 2. The entire building may be weatherized if at least 66% of the dwelling units in the building are eligible or will become eligible dwelling units within 180 days
 3. Weatherization services must primarily benefit tenants who can qualify as eligible clients.
 4. Weatherization services may not be performed on buildings in which the weatherization services would not primarily benefit eligible clients.
 5. Subgrantees that provide weatherization services which would not primarily benefit an eligible client may be responsible for reimbursing disallowable costs.
- C. Weatherizing of non-traditional type dwellings such as shelters and apartments over businesses will be reviewed on a case-by-case basis. Please submit request to the DCED main mailbox at ra-wxmail@pa.gov.
- D. Multi-family units will be reviewed on a case-by-case basis as well.
1. Please refer to WPN 16-5 Multifamily Weatherization and the FAQs for the definition of multi-family housing. Multifamily is defined as those containing 5 or more units or buildings with 2-4 units with shared heating systems and/or common areas to include shared attic or basements.

Describe the deferral Process

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

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

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- i. There are vermin, unsanitary, or other health and safety problems on the property that present a hazard to the weatherization workers
- ii. The client or occupants are physically or verbally abusive

V.1.3 Definition of Children

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

V.1.4 Approach to Tribal Organizations

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

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

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

V.2 Selection of Areas to Be Served

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

- A. As required by the Federal Register, Section 440.15, all current subgrantees have experience in dealing with, identification of, and service to, the low-income population of their respective areas.
- B. All current Weatherization Program subgrantees have been presented in the plan and announced at the public hearing for public comment.
- C. Any future new Weatherization Program subgrantees will be selected on the basis of public hearings conducted by the Department.
- D. Criteria used in the selection of new subgrantees include, but are not limited to:
 - a. The subgrantee's experience and performance in weatherization-type activities or housing renovation activities
 - b. The grantee's experience in assisting low-income persons in the areas to be served
 - c. The sub grantee's capacity to undertake a timely and effective program
- E. In the event that an agency chooses to stop providing weatherization services, or funding is at risk due to performance issues which cannot be resolved in a timely manner and in order to utilize the funds in the specific area they were allocated for, the Department has, and will continue, to give preference to any Community Action Agency or other public or non-profit agency which has or is currently administering an effective program under the Weatherization Assistance Act or the Community Services Block Grant Act of 1981 in order to provide continuity of services.
- F. In the decision to continue any sub grantee's participation in the Weatherization Program, the Department will take into consideration the extent to which that agency achieved or is achieving weatherization goals in a timely fashion, quality of work performed, and the numbers, qualification, and experience of the subgrantee's staff members. The ability of the current subgrantees to secure volunteers, training participants, public service employment workers, and other federal/state training programs.
- G. Types of Subgrantees:
 - a. Community Action Agencies
 - b. City Government Agencies
 - c. County Government Agencies
 - d. Local Housing Authorities
 - e. Local Redevelopment Authorities
 - f. Other Non-Profit Agencies
- H. During the current review of poverty and heating degree days data in combination with various capacity issues uncovered during the 2020 Risk Assessment process, it appears that the population needs for weatherization services combined with ongoing compliance with all program requirements has challenged the network as it is currently organized. For the upcoming new DOE grant, the Department is continuing a planning strategy in partnership with the WAP agency network and the Policy Advisory Council (PAC) to further analyze the shifting data trends as applied to individual agency capacity in order to reconsider and recreate, as necessary, a sustainable agency framework for Pennsylvania.

V.3 Priorities

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Client Prioritization

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

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

The Weatherization Service List

- A. Definition

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1. The Weatherization Service List, which in Department of Energy terms is called the waiting list serves as the list of all individuals who meet all of the following conditions:
 - i. Have applied for weatherization services;
 - ii. Have been entered into Hancock Software System;
 - iii. Have been found to be eligible for weatherization services as defined in previous sections
 - iv. Have been prioritized for weatherization services.
 2. The Weatherization Service List should only contain clients for whom the subgrantee believes it can actually provide weatherization services with the assigned year's funding.
 3. Individuals who do not meet all of these conditions are not considered to be on the Weatherization Service List.
- B. Creating and Managing the Weatherization Service List**
1. Within the confines of creating a reasonably-sized Weatherization Service List, subgrantees should engage in broad community outreach efforts to publicize their weatherization program as needed. Subgrantees are reminded that LIHEAP Crisis clients whose homes have not been weatherized yet should be added to a Request for Service list of potential WAP clients.
 2. Subgrantees must determine eligibility for weatherization services of potential clients. Clients deemed eligible may be added to the Weatherization Service List. This eligibility determination is valid for 12 months from the date of final determination.
 3. A subgrantee may not create a Weatherization Service List that contains more clients than are reasonably necessary to conduct weatherization services without running out of clients or funding.
 4. It may be necessary for subgrantees to maintain a separate list of weatherization inquiries or potentially-eligible applicants to contact once their Weatherization Service List/waiting list has been depleted. This should be maintained as a Request for Service List.
 5. The Request for Service List should document the client name, phone number, address and date of inquiry

V.4 Climatic Conditions

The Weatherization Assistant (WA) energy audit software was used to model an array of measures for multiple reference structures throughout the state. Pennsylvania-specific weather, fuel costs, measure costs, and reference structures were used throughout the assessment. We used a bracketing approach, wherein the audit was conducted using lower and higher ranges of fuel costs within the warmest and coldest weather regions of the state, respectively, providing a range of measures which were known to be certainly cost-effective under all conditions (the low fuel cost/warmest region) Subsequently, we conducted additional assessments to determine under which weather regions and fuel costs (the high fuel cost/coldest region) additional measures could be found cost-effective. This involved mostly assessing the cost effectiveness of heating system replacements.

The attached map has been historically used; however, recent data updates are showing a shift in climatic conditions. These updates will be considered during the strategy meetings regarding appropriate future framework for the network to serve all areas of PA.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

V.5 Type of Work to Be Done

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

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

V.5.1 Technical Guides and Materials

As indicated in energy audits procedure section below, PA has transitioned to the use of the DOE approved whole house standardized energy audit. The Home Energy Audit Tool (HEAT) developed by Hancock Software, Inc. was approved for use in PA by DOE in December 7, 2016. All work will be consistent with the energy audit, the NREL Standard Work Specifications (SWS), and approved 2018 Pennsylvania SWS Field Manual. In addition, all subgrantees are required to meet the PA SWS Field Manual standards, which include the approved WAP materials, as listed in Appendix A in accordance with WPN 19-4.

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

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

Health & Safety Directive July 1, 2020

PA SWS Field Manual & WAP Standard Work Specifications August 9, 2018

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

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

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

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

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

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

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

Full implementation of the certified Quality Control Inspections (QCI) occurred July 1, 2015. PA's Interstate Renewable Energy Council (IREC) accredited training center, National Sustainable Structures Center (NSSC) has offered both training and testing since March 2014 to qualified individuals. This center will continue to provide the Quality Control Inspection training. Since PA has opened up training and testing to the PA WAP subgrantee network, the requirement for monitoring of units by the Department monitors will be 5% or 155 units during program year 2020-21. All the Department monitors are QCI certified. The QCI certification is a requirement for all new monitors.

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

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

Field guide types approval dates

Single-Family: 8/9/2018

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Manufactured Housing: 8/9/2018 Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family Audit Name: HEAT Approval Date: 12/7/2016
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Audit Procedure: Manufactured Housing Audit Name: HEAT Approval Date: 4/25/2017

Audit Procedure: Multi-Family Audit Name: Other (specify) Multi-Family ---- TREAT and/or Multea, Multi-Family Procedures TBD Approval Date:
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Comments

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

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

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

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

Although PA currently falls below the 20% threshold for multi-family building type and does not require a Multifamily Energy Audit procedure, the Department did have a DOE approved TREAT Energy Audit for use in completing multi-family units which was approved May 7, 2012 and since it expired needs approval for for a multifamily audit tool. Agencies have been instructed to use the TREAT Audit but we are considering the use of the MulTEA audit tool this year. Agencies must submit the audit and all the backup documentation to the Department for review prior to any multi-family work commencing.

Auditing of eligible units to receive weatherization services may only be done through the following audits as listed in the chart:

HOUSING TYPE	REQUIRED AUDIT PROCEDURE (Typical structure)	EFFECTIVE DATES	DOE Approval date
Single Family	Hancock Energy Audit Tool (HEAT), for single family	Audits performed on or after 2/1/2017 to 12/7/2021	12/7/2016

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Mobile/Manufactured Housing	Hancock Energy Audit Tool (HEAT), for mobile/manufactured housing	Audits performed on or after 1/1/2018 to 4/28/2022	4/26/2017
Multifamily	Targeted Retrofit Energy Analysis Tool (TREAT), for multifamily	May 7, 2012 to May 7, 2017	TBD
	Multi family Tool for Energy Audits (MulTEA)		TBD
TBD= To be Determined			

The audits as listed above will be utilized for all weatherization work on the effective dates. Regarding manufactured/mobile homes, they are defined as having a steel foundation frame and they are governed by Housing and Urban Development (HUD) code. HEAT for manufactured/mobile homes should be utilized. For modular homes which are defined as being factory built but constructed to meet site-built single family standards, HEAT for single family should be utilized.

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

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

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

Over the 2019 program year, DCED with the assistance of NSSC worked closely with two specific agencies on two multifamily projects. We will be submitting at least one of those multifamily projects to DOE for approval within the current program year.

Although that submission utilized the TREAT audit, we will exploring the use of the MulTEA audit tool for future submissions and a possible request for DOE approval for our multifamily audit tool.

NSSC plans to offer a multifamily Auditor course in May or June 2020.

V.5.3 Final Inspection

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

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

Quality Control Inspections are required for all units. PA's IREC accredited training center, NSSC has offered both training and testing since March 2014 to qualified individuals. Since PA has opened up training and testing to the PA WAP subgrantee network, the requirement for monitoring of units by the Department monitors will be 5% or 155 units during program year 2020-2021. All Department monitors are QCI certified. The QCI certification is a requirement for all new monitors. To meet PA's needs and avoid all conflicts of interest, a QCI is an individual that has no involvement in the prior work of the home.

A Quality Control Inspector will inspect the completed work. Completion verification from the client will be obtained during an inspection process and

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this verification will become part of the permanent client file record and will indicate the client's satisfaction with the work performed. Also included is verification that the installed measures were explained to the occupant and that client education was provided.

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

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

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

V.6 Weatherization Analysis of Effectiveness

Performance Standards and Risk Assessment

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

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

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

Risk Assessment Plan

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

Points System

- There are 25 different descriptors/criteria measured and weighted.
- Each is assigned anywhere from 0-3 points before the weighted value is applied depending on number of deficiencies.
- The weighted values as listed on the Risk Assessment Tool are based on the experiential findings which have proven to be significant for each listed criteria.
- QCI Inspections will be assessed based on QCI Reports issued. For In-Progress work that is reviewed by DCED QC Inspectors, if there are any issues or problems which need to be corrected, the agency will receive at least 1 point. If there is a DCED QC Inspection completed and all the work cannot be brought into SWS compliance, the agency will receive 3 points/the maximum points for the QCI criteria.

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- The number of callbacks as well as the number and severity of the issues found during QCI's will be reviewed when determining risk as follows:
 - For completed work, if a callback is required after the **agency** QCI, the agency may receive point/s based on the issues requiring the callback/s.
 - For completed work, if a callback is required after a **DCED** QCI, the agency will receive 3 point/s.
- Low Risk - an agency will have a combined total score of 100 points or less, but greater than zero
- Medium Risk - an agency will have a score that falls at or between 101-200 points
- High Risk - an agency will have a score of 201-300 points

Due Process for Non-Compliance

Risk Levels

- Corrective Action Plans (CAP) will be required for all Levels within 15-business days of receipt of their Risk Assessment. Unless otherwise stated and viable reasons provided, all corrective actions should have resolution date of no more than 90 business days after CAP submission.
- If an agency reaches Medium Risk:
 - A meeting or call will be scheduled with them to discuss the issues
 - On-site training will be required, if applicable
 - In-progress QCI may be completed, if applicable
 - Funding may be affected if production is an issue
- If an agency reaches High Risk:
 - A meeting will be scheduled with them to discuss the issues
 - On-site training will be required, if applicable
 - In-progress QCIs must be completed
 - Funding will be reconsidered quarterly
 - The possibility of being flagged for a quarter or more until corrective actions are accepted and resolved
 - The possibility of invoices not being processed until corrective actions are accepted and resolved

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

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

Re-Allocation Plan

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

In addition, since this is the last year of the DOE grant (Year 4), as of December 31, 2020 or if a specific agency timeline or production goals are not met, funds will be reduced from under-performing agencies and reallocated to agencies that will be able to spend the funds, meeting all quality and compliance standards. Prior to reducing the final annual funding level of any subgrantee, as a consequence of inadequate performance, the Department shall provide in writing to the subgrantee the specific reasons for the final funding reduction for the program year. PA has implemented a risk and performance-based allocation which is driven by a review of subgrantees' production, work quality, compliance and reporting. The Risk Level and due process for non-compliance requirements are distributed via this DOE state plan and to each agency when they are notified of their Risk Assessment results.

The benefits to this approach include:

- Allocating additional funding to agencies demonstrating success in administering their annual allocations reflects the focus on quality and volume of work improving the Weatherization Program
- Reallocation of funding will ensure the increased efficiency and effectiveness of the program
- Successful agencies will better maintain their current workforce
- Competition will encourage exceptional performance of the agencies within the Weatherization Program

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

DCED's QCI Poor Performance Plan

These rules apply to the Quality Control Inspections which will be conducted by the Department QCIs. Consequences for poor performance will be based upon number and severity of failures.

Consequences for QCI may include:

- Schedule meeting with involved agencies and QC Inspector to discuss non-compliance issues
- Mandatory re-training
- 6-month suspension from performing QC Inspections
- 12-month suspension from performing QC Inspections
- Notification to BPI
- Debarment

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

Utility Data Sharing

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

V.7 Health and Safety

Plan is attached in SF-424

V.8 Program Management

V.8.1 Overview and Organization

The Pennsylvania Weatherization Assistance Program is administered through the Department of Community and Economic Development. The Secretary of the Department as the designee of the Governor, applies for, receives and administers the weatherization funds. The day to day operation of the weatherization program is managed through the Department's Center for Community Services (CCS). In addition to the Center for Community Services, the Office of Administration and Management is responsible for budgetary oversight and contract development and processing. The DCED Financial Management Center is responsible for the annual financial reviews of the subgrantees. In addition to administration of the program within the Department, the Office of Budget, Comptroller Operations office is responsible for final approval of subgrantee contracts, approval of payments to subgrantees, and fiscal reporting to the Department of Energy.

CENTER FOR COMMUNITY SERVICES

Executive Section

Director – Serves as the Director of the Center for Community Services, responsible for directing all office operations/projects and has authority to direct staff consistent with office policies and practices, with specific responsibility for:

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

WAP Division and Project Controls/Contract Compliance Section

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

- Directing activities on all state plans. Including published for comment, hearing on revisions, responding to comments and submission to DOE
- Wx Training
- Contract collaboration and monitoring

- Conduct Risk Assessments of all agencies
- Manages all communications with agencies to ensure agency compliance (or lack thereof) with their contractual obligations is documented
- Establish agency management plan criteria
- Analysis and recommendations of Agency management plans
- Develop and oversee formation of policy directives for communication to agencies
- Compliance with DOE regulations,
- Oversees contract approval and processing,
- Analysis of agency management plan outcomes, performance, capacity, production data, and field monitoring reports for purposes of determining program compliance.
- Submit reports to DOE regarding WAP production and contractual obligations
- Oversight of the Hancock Software System.
- Promulgating procedures and providing information systems technology that support Hancock
- Review and establish business processes for WAP

WAP Monitoring Section

This Section is responsible for the monitoring and Quality Control Inspections of weatherized homes and the assigned subgrantees in accordance with DOE and LIHEAP requirements to ensure that all Agencies meet all contractual obligations and 5% of weatherized homes pass the QCI. Staff members within this Section are QCI certified and perform field inspections as well as desk monitoring of work performed by assigned Agencies to ensure Quality Assurance.

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

V.8.2 Administrative Expenditure Limits

Agencies are allowed administrative costs to administer the Weatherization Assistance Program as allocated by the Department. Statewide, subgrantee administrative costs are at least five percent (5%) of the state's allocation prorated by formula for each agency.

V.8.3 Monitoring Activities

Monitoring Process

- A. For the monitoring of DOE Standard Weatherization, at least 5% of the completed units will be site inspected utilizing the Quality Control

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Inspection (QCI) process. In-process units are inspected but not counted towards the 5% of the completed units monitored.

- B. Approximately 18% of the T/TA budget is spent on monitoring activities.
- C. Fiscal monitoring, including a review of the Single Audit Reports, of all WAP agencies will be conducted yearly by DCED's Fiscal Management Center utilizing a combination of desk and on-site monitoring.
- D. Risk Assessments will be conducted annually (preferably in January) using twenty-five (25) different descriptors/criteria that fall within the categories of Management/Financial Reporting, Production, Contract Compliance, Inventory, and Quality Control Inspections. Each descriptor is measured and weighed, and a risk level will be assigned to each agency at the conclusion of the assessment. If applicable, a corrective action plan will be required.

DCED Monitoring Results/Reports

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

Due Process for Non-Compliance

- A. Corrective Action Plans (CAP) will be required in response to monitoring findings within 15 days of receipt. Unless otherwise stated and viable reasons provided, all corrective actions should have a resolution date of no more than 90 business days after CAP submission.
- B. Risk Levels
 - a. Corrective Action Plans (CAP) will be required for all Levels within 15-business days of receipt of their Risk Level. Unless otherwise stated and viable reasons provided, all corrective actions should have a resolution date of no more than 90 business days after CAP submission.
 - b. If an agency reaches Medium Risk:
 - i. A meeting will be scheduled with them to discuss the issues
 - ii. On-site training will be required, if applicable
 - iii. In-progress QCI may be completed, if applicable
 - iv. Funding may be affected if production is an issue
 - c. If an agency reaches High Risk:
 - i. A meeting will be scheduled with them to discuss the issues
 - ii. On-site training will be required, if applicable
 - iii. In-progress QCIs must be completed
 - iv. Funding will be reconsidered quarterly
 - v. The possibility of being flagged for a quarter or more until corrective actions are accepted and resolved
 - vi. The possibility of invoices not being processed until corrective actions are accepted and resolved

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

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

B. Re-Allocation Plan

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

In addition, since this is the last year of the DOE grant (Year 4), as of December 31, 2020 or if a specific agency timeline or production goals are not met, funds will be reduced from under-performing agencies and reallocated to agencies that will be able to spend the funds, meeting all quality and compliance standards. Prior to reducing the final annual funding level of any subgrantee, as a consequence of inadequate performance, the Department shall provide in writing to the subgrantee the specific reasons for the final funding reduction for the program year.

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

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

DCED's QCI Poor Performance Plan

- A. These rules apply to the Quality Control Inspections which will be conducted by the Department QCIs. Consequences for poor performance will be based upon number and severity of failures.
- B. Consequences for QCI may include:
 - a. Schedule meeting with involved agencies and QC Inspector to discuss non-compliance issues
 - b. Mandatory re-training
 - c. 6-month suspension from performing QC Inspections
 - d. 12-month suspension from performing QC Inspections
 - e. Notification to BPI
 - f. Debarment
- C. The agency that is responsible for hiring the QCI to perform inspections whether it is through direct hire or subcontracted will be accountable for the work performed on the completed unit.

V.8.4 Training and Technical Assistance Approach and Activities

As of June 30, 2010, Pennsylvania (PA) required that all weatherization workers (auditors, crew chiefs, and installers) regardless of whether the individual is an employee of an agency or a contractor or subcontractor operating on behalf of an agency, obtain the appropriate weatherization training and certifications to perform state approved weatherization work in PA.

On July 1, 2018, PA further aligned worker training and certification requirements with the U.S. DOE Guidelines for Home Energy Professional effort by transitioning from a PA Weatherization Training and Certification framework to the national Home Energy Professional (HEP) Training Programs and Certifications for SingleFamily Energy Auditor, Crew Leader, Retrofit Installer Technician, and Quality Control Inspector. Since 2013, PA 's weatherization training program and certification efforts have been cross walked and aligned with the HEP Certifications, making this transition seamless to workers. PA requires workers and relevant subcontractors to complete HEP training program courses.

PA also requires regular refresher training for all workers to meet the needs of the Commonwealth's Weatherization program.

Worker certification is awarded at the national level through certification exams maintained by the Building Performance Institute. Certification testing is administered by BPI Test Centers approved to proctor each specific HEP exam (NSSC). The national HEP QCI certification has been required in PA since 2015. At this time, HEP Energy Auditor certification is only required for new and renewing HEP QCIs; however, PA has offered and encouraged participation in HEP Energy Auditor certification testing to eligible workers and sub-contractors since 2018. The HEP Retrofit Installer Technician and HEP Crew Leader certification exams are not required by U.S. DOE or PA; however, completion of the HEP Retrofit Installer Technician and Crew Leader Training Programs are required.

The HEP Training Programs require the successful completion of a combination of online, classroom, and laboratory work. Training completion certificates will state that the individual has shown that he or she has demonstrated competencies defined in the Job Task Analysis.

Currently, new employees/subcontractors must begin the process for coursework registration within 60 days of their start date. Certification should be completed within the year, depending on type of certification. Training standards are subject to change.

The National Sustainable Structures Center (NSSC) at Pennsylvania College of Technology will serve as the central hub of training operations for centralized Training Plan implementation, registration, training oversight and quality assurance, student record keeping, and reporting to the Department.

All four of NSSC's HEP Training Programs are IREC accredited. NSSC will continue to provide QCI and Energy Auditor training and certification testing into the next program year, in an effort to maintain an adequate number of certified QCIs to cover all counties in PA. The number and names of the QCIs for each agency are collected at least annually during the Risk Assessment process, during the annual monitoring visits and as part of each agency Training Plan. QCI names are tracked through NSSC and can be found at

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the BPI website. Each weatherization agency has at least one QCI as a direct hire employee and/or subcontracted.

Based upon the recommendations from the WAP Policy Advisory Council (PAC) Training and Technical Assistance Committees, the Department's monitoring results, and survey results, NSSC will continue to provide field training and technical assistance at all 36 subgrantees.

The training course schedule for 2020/21 will be developed based on historical enrollment and feedback from Agencies and PA DCED. NSSC's Home Energy Professional (HEP) Training Programs will be offered throughout the year at their Williamsport lab site as well as a western PA lab site. Future supplemental trainings (in addition to standard HEP training program offerings) will be scheduled based on Quality Control Inspections, technical assistance requests, monitoring results, and any agency's (subgrantee's) specific requests. The agency (subgrantee) training needs are identified in their annual Training Plan submissions, and as a result of the monitoring and Risk Assessment results.

As the technical assistance provider, NSSC will schedule a visit with each agency (subgrantee), preferably an in-progress visit before the final inspection, to gather best practices, provide technical feedback, and identify any training gaps for continuous improvement.

NSSC participates in WAP PAC Training and Technical Assistance Committees and presented at the PA State Home Performance Coalition Conference in Fall 2019. NSSC assisted with the Technical Assistance in the development of a "best practices" recognition session in which subgrantees shared and compared productivity and energy savings techniques. These "best practices" will continue to be explored this year.

Furthermore, the Department will be considering providing DOE T/TA funds directly to each agency. These funds will be allocated to each agency to utilize as wages for their staff to attend online training and conferences during the COVID-19 pandemic crisis. These funds can only be used for wages when no other funds are available to support the staff members during that time.

COMPREHENSIVE TRAINING:

Comprehensive training (formerly referred to as Tier 1 training) is occupation-specific training which follows a curriculum aligned with the JTA for that occupation. In the PA WAP, Comprehensive training is defined as the Home Energy Professional Training Programs, plus PA-specific training requirements for heating sub-contractors. The table below outlines the course requirements for each HEP Training Program.

Course Requirements per HEP Training Program in PY 2020/21						
PA WAP Heating Sub-contractors*	HEP Retrofit Installer Technician	HEP Crew Leader†	HEP Energy Auditor	HEP QCI‡	Required Courses	# Contact Hours
X	X	X	X	X	OSHA 10 Construction Industry	10
X	X	X	X	X	BPX 100 Customer Relations	3
X	X	X	X	X	BPX 110 Introduction to Weatherization	6
	X	X	X	X	BPX 120 Worker Safety	3
	X	X	X	X	BPX 130 Building Science - Level 1	4
	X	X	X	X	BPX 140 Residential Heating Systems - Level 1	3
	X	X			HEP 149 Accelerated Weatherization Tactics	18
		X	X	X	BPX 200 Building Science - Level 2	4
		X	X	X	HEP 220 Blower Door and Pressure Diagnostics	16
		X	X	X	HEP 210 Residential Heating Systems - Level 2	16
		X	X	X	HEP 230 CAZ Testing	10
		X			BPX 240 Crew Management	4
		X			EPA RRP Certified Lead Renovator	8
			X	X	HEP 300 Residential Heating Systems - Level 3	18
			X	X	HEP 310 ASHRAE 62.2-2016	6
			X	X	BPX 321 PA WAP HEAT App Tutorial**	3
			X	X	BPX 330 Energy Modeling for Auditors	6
			X	X	HEP 340 Home Energy Audit Field Capstone	16
				X	BPX 400 Quality Control Inspector	4
19	47	105	124	128	Total # Hours	
2.7	6.7	15.0	17.7	18.3	Full day equivalent	
Training Delivery Method:						
In-person/Lab	Online					
* PA WAP Heating Sub-contractor training requirements and the course <i>BPX 321 PA WAP HEAT App Tutorial</i> are required only for the PA WAP.						
† Crew Leaders must complete all Retrofit Installer Technician courses before starting Crew Leader courses.						
‡ Quality Control Inspectors must complete all Energy Auditor courses before starting QCI courses.						

Training program course requirements are subject to change.

A specific schedule for Comprehensive training is developed based on historical enrollment and feedback from Agencies and PA DCED. At the time of this plan, an exact schedule has not yet been developed. Each inperson course is offered at a minimum of 6 times per year and will be adjusted based on need.

The Department provides expense reimbursement for all Subgrantee direct hires and subcontractors to complete an OSHA 10 Construction Industry training online through third-party OSHA-approved training providers. OSHA 10 online course reimbursement will be administered through NSSC, and guidance is provided on NSSC's PA Weatherization webpage: <https://www.pct.edu/business/national-sustainable-structures-center/pa-weatherization>.

As in previous years, NSSC will offer certification testing at no cost to PA WAP workers and sub-contractors for the HEP Energy Auditor and HEP Quality Control Inspector certifications.

REGULAR TRAINING REFRESHER REQUIREMENTS:

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Regular training refreshers are required for all PA WAP workers to keep up with new technical standards and important program updates. Training refresher requirements for the PA WAP consist of the following:

1. new coursework on pertinent topics for specific job classifications, as determined by the PA WAP (e.g. ASHRAE 62.22016, updated CAZ testing procedures, relevant Installer Badges) and
2. all workers (including sub-contractors) are required to attend at least one (1) inperson PA WAPsponsored regional training meeting every three (3) years (e.g. Field Manual meetings, regional training update / continuous improvement meetings, etc.). PA WAPsponsored regional training meetings will be held annually, in multiple geographic regions whenever possible, allowing workers flexibility in meeting training refresher requirements.

For Subgrantee Leadership:

Periodically, the Department organizes and conducts formal statewide weatherization meetings, workshops, and webinars or conference calls for the purpose of addressing subgrantee training needs and pertinent monitoring findings as well as sharing information with/among the staff of subgrantees themselves and the Department staff. The number of sessions range from two (2) to four (4) times during the contract period, depending on problems identified and/or issues needing to be addressed. Subgrantees, participants, and sometimes outside consultants are used as instructors, panel members, and group leaders.

Subgrantees are expected to make every effort to have at least one representative participate in all statewide weatherization meetings, workshops, and webinars or conference calls.

SPECIFIC TRAINING:

Specific training (formerly referred to as Tier 2 training) consist of single issue, shortterm continuing education that does falls outside of Comprehensive training (i.e. eligible continuing education outside of the PA WAP HEP Training Program course requirements table above). Conference trainings are included in this category. This may include:

1. Leadership, teamwork, and communication trainings
2. WAP-sponsored Program Administrator trainings
3. BPI Building Analyst, Healthy Home Evaluator, and other related industry credentials
4. Electrical safety
5. Trainings on computer programs (Microsoft Word, Excel, PowerPoint, etc.)
6. Periodic PA WAP-sponsored regional meetings
7. NASCSP Conferences
8. Home Performance Coalition Regional and National Conferences
9. Any other DOE approved Conferences
10. Other pertinent trainings upon approval from DCED prior to attendance, as per the PA WAP Continuing Education Guidelines.

The Department provides expense reimbursement for each Subgrantee (direct hires and subcontractors) to participate in approved Specific (Continuing Education) trainings. Continuing education reimbursement requires Department pre-approval and includes expenses such as registration, exams, course materials, transportation/mileage, lodging, and meals. The Department has assigned NSSC as the designated clearinghouse for receiving and processing Continuing Education requests, issuing reimbursement funds, and tracking Continuing Education expenditures per Subgrantee.

Utilizing an expense management software, NSSC and the Department work together through an approval process to review the agency/subgrantee Continuing Education requests. There is an initial allowance of Continuing Education funds per agency for eligible trainings, but the amount may be adjusted in the second half of the year depending on the number and amounts associated with the requests. The approval process and designated amount of Continuing Education training funds help to ensure that the DOE T/TA funds are spent timely and appropriately.

Consumer Education

Agencies are required to provide Energy Education as part of weatherization service and must document this activity as part of the client signoff. Consumer Education is covered in NSSC's Customer Relations course.

Client education includes but is not limited to:

- A review of the measures installed and how to maximize their potential benefit;
- The relationship between individual behavior and energy savings and comfort;

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- The anticipated effect of the weatherization treatment on energy use;
- Information on activities the client can do that is not related to weatherization measures installed to save energy

Percent of overall trainings

Comprehensive Trainings:	65.8
Specific Trainings:	34.2

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	44.4
Percent of budget allocated to Crew/Installer trainings:	41.9
Percent of budget allocated to Management/Financial trainings:	13.7

V.9 Energy Crisis and Disaster Plan

The Department limits the use of DOE funds for Energy Crisis Relief or Disaster activities. In the event of a declared Federal or State disaster, weatherization crews are permitted to return to a unit, which was previously reported to DOE as complete, to reweatherize without regard to the date of weatherization if that unit has been "damaged by fire, flood, or act of God." Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if damage to the materials is not covered by insurance or other form of compensation. The limits on incidental repairs and Health and Safety percentages defined in the Health and Safety Plan remain in effect for such work. Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such function and activities include: securing weatherization materials, tools and equipment. Weatherization vehicles and/or equipment may be used to help assist in disaster relief provided that WAP is reimbursed according to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards codified under CFR 10, Title 2, sub-title A.

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