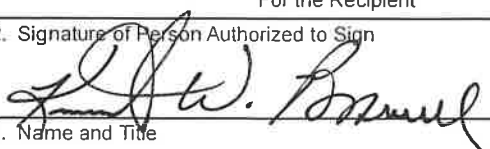
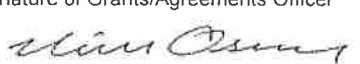


ASSISTANCE AGREEMENT

1. Award No. DE-EE0007902		2. Modification No. 0006		3. Effective Date 04/01/2017		4. CFDA No. 81.042		
5. Awarded To ECONOMIC AND COMMUNITY AFFAIRS, ALABAMA DEPA Attn: KENNETH BOSWELL P. O. BOX 5690 MONTGOMERY AL 361035690				6. Sponsoring Office Energy Efficcy & Renewable Energy EE-1 U.S. Department of Energy 1000 Independence Avenue, S.W. Washington DC 20585			7. Period of Performance 04/01/2017 through 03/31/2021	
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other		9. Authority PL 109-58, Energy Policy Act (2005)			10. Purchase Request or Funding Document No. 20EE001180			
11. Remittance Address ECONOMIC AND COMMUNITY AFFAIRS, ALABAMA DEPA Attn: TAMMY ROLLING 401 ADAMS AVE P O BOX 5690 MONTGOMERY AL 361035690				12. Total Amount Govt. Share: \$11,377,163.00 Cost Share : \$0.00 Total : \$11,377,163.00		13. Funds Obligated This action: \$3,443,053.00 Total : \$11,377,163.00		
14. Principal Investigator See Page 2 of Assistance Agreement		15. Program Manager Floris C. Weston Phone: 202-586-8296			16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 15013 Denver West Parkway Golden CO 80401			
17. Submit Payment Requests To Payment - Direct Payment from U.S. Dept of Treasury			18. Paying Office Payment - Direct Payment from U.S. Dept of Treasury			19. Submit Reports To See Reporting Checklist		
20. Accounting and Appropriation Data See Schedule								
21. Research Title and/or Description of Project WEATHERIZATION ASSISTANCE PROGRAM - ALABAMA								
For the Recipient				For the United States of America				
22. Signature of Person Authorized to Sign 				25. Signature of Grants/Agreements Officer 				
23. Name and Title Kenneth W. Boswell, Director		24. Date Signed 3/14/20		26. Name of Officer Nicholas C. Oscarsson		27. Date Signed 03/11/2020		

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0007902/0006PAGE OF
2 3

NAME OF OFFEROR OR CONTRACTOR

ECONOMIC AND COMMUNITY AFFAIRS, ALABAMA DEPARTMENT OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 062620604</p> <p>In addition to this Assistance Agreement, this award consists of the items listed on the Cover Page of the Special Terms and Conditions.</p> <p>Current Budget Period: 04/01/2020 to 03/31/2021 Project Period: 04/01/2017 to 03/31/2021</p> <p>The purpose of this action is to obligate Program Year 2020 funds and to authorize performance of Program Year 2020 activities.</p> <p>In Block 7 of the Assistance Agreement, the Period of Performance reflects the beginning of the Project Period through the end of the current Budget Period.</p> <p>Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.</p> <p>All other terms and conditions remain unchanged.</p> <p>DOE Award Administrator: Janice Callahan E-mail: janice.callahan@ee.doe.gov Phone: 240-562-1682</p> <p>DOE Project Officer: Floris Weston E-mail: floris.weston@ee.doe.gov Phone: 202-586-8296</p> <p>Recipient Business Officer: Kenneth W. Boswell E-mail: kenneth.boswell@adeca.alabama.gov Phone: 334-242-5594</p> <p>Recipient Principal Investigator: Trent Williams E-mail: trent.williams@adeca.alabama.gov Phone: 334-242-5373</p> <p>"Electronic signature or signatures as used in this document means a method of signing an electronic message that-- (A) Identifies and authenticates a particular person as the source of the electronic message; (B) Indicates such person's approval of the information contained in the electronic message; and, (C) Submission via FedConnect constitutes Continued ... electronically signed documents."</p>				

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0007902/0006

PAGE	OF
3	3

NAME OF OFFEROR OR CONTRACTOR

ECONOMIC AND COMMUNITY AFFAIRS, ALABAMA DEPARTMENT OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	ASAP: YES Extent Competed: NOT AVAIL FOR COMP Davis-Bacon Act: NO PI: Williams, Trent				

Special Terms and Conditions

Alabama Department of Economic and Community Affairs ("Recipient"), which is identified in Block 5 of the Assistance Agreement, and the Office of Energy Efficiency and Renewable Energy ("EERE"), an office within the United States Department of Energy ("DOE"), enter into this Award, referenced above, to achieve the project objectives stated in this Award.

This Award consists of the following documents including all terms and conditions therein:

	Assistance Agreement Form
	Special Terms and Conditions
Attachment 1	Intellectual Property Provisions
Attachment 2	Federal Assistance Reporting Checklist and Instructions
Attachment 3	Budget Information SF-424A
Attachment 4	Annual File
Attachment 5	Master File
Attachment 5a	Health and Safety Plan
Attachment 6	NEPA Determination

The following are incorporated into this Award by reference:

- DOE Assistance Regulations, 2 CFR part 200 as amended by 2 CFR part 910 at <http://www.eCFR.gov>.
- National Policy Assurances, to be incorporated as Award Terms in effect on date of award at <http://www.nsf.gov/awards/managing/rtc.jsp>
- The Recipient's application/proposal as approved by EERE.
- Applicable program regulations at <http://www.eCFR.gov>, including 10 CFR Part 440 – Weatherization Assistance for Low-Income Persons.

Table of Contents

Subpart A. General Provisions	3
Term 1. Legal Authority and Effect	3
Term 2. Flow Down Requirement	3
Term 3. Compliance with Federal, State, and Municipal Law	3
Term 4. Inconsistency with Federal Law	3
Term 5. Federal Stewardship	3
Term 6. Federal Involvement	4
Term 7. NEPA Requirements	5
Term 8. Historic Preservation	6
Term 9. Performance of Work in United States	7
Term 10. Foreign National Access Under DOE Order 142.3A, "Unclassified Foreign Visits and Assignments Program"	7
Term 11. Notice Regarding the Purchase of American-Made Equipment and Products – Sense of Congress ..	8
Term 12. Reporting Requirements	8
Term 13. Lobbying	8
Term 14. Publications	9
Term 15. No-Cost Extension	9
Term 16. Property Standards	9
Term 17. Insurance Coverage	9
Term 18. Real Property	10
Term 19. Equipment	10
Term 20. Supplies	11
Term 21. Property Trust Relationship	11
Term 22. Record Retention	11
Term 23. Audits	11
Subpart B. Financial Provisions	12
Term 24. Maximum Obligation	12
Term 25. Continuation Application and Funding	12
Term 26. Refund Obligation	12
Term 27. Allowable Costs	13
Term 28. Indirect Costs	13
Term 29. Decontamination and/or Decommissioning (D&D) Costs	14
Term 30. Use of Program Income	14
Term 31. Payment Procedures	14
Term 32. Budget Changes	15
Term 33. Carryover of Unobligated Balances	16
Subpart C. Miscellaneous Provisions	16
Term 34. Reporting Subawards and Executive Compensation	16
Term 35. System for Award Management and Universal Identifier Requirements	20
Term 36. Nondisclosure and Confidentiality Agreements Assurances	22
Term 37. Subrecipient Change Notification	23
Term 38. Minimum Privacy Protections Regarding Applicant Information	24
Term 39. Conference Spending	25
Term 40. Recipient Integrity and Performance Matters	25

Subpart A. General Provisions

Term 1. Legal Authority and Effect

A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Contracting Officer.

The Recipient may accept or reject the Award. A request to draw down DOE funds or acknowledgement of award documents by the Recipient's authorized representative through electronic systems used by DOE, specifically FedConnect, constitutes the Recipient's acceptance of the terms and conditions of this Award. Acknowledgement via FedConnect by the Recipient's authorized representative constitutes the Recipient's electronic signature.

Term 2. Flow Down Requirement

The Recipient agrees to apply the terms and conditions of this Award, as applicable, including the Intellectual Property Provisions, to all subrecipients (and subcontractors, as appropriate) as required by 2 CFR 200.101 and to require their strict compliance therewith. Further, the Recipient must apply the Award terms as required by 2 CFR 200.326 to all subrecipients (and subcontractors, as appropriate) and to require their strict compliance therewith.

Term 3. Compliance with Federal, State, and Municipal Law

The Recipient is required to comply with applicable Federal, state, and local laws and regulations for all work performed under this Award. The Recipient is required to obtain all necessary Federal, state, and local permits, authorizations, and approvals for all work performed under this Award.

Term 4. Inconsistency with Federal Law

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this Award must be referred to the DOE Award Administrator for guidance.

Term 5. Federal Stewardship

EERE will exercise normal Federal stewardship in overseeing the project activities performed under this Award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to address deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

Term 6. Federal Involvement

A. Review Meetings

The Recipient, including but not limited to, the principal investigator (or, if applicable, co-principal investigators), is required to participate in periodic review meetings with EERE. Review meetings enable EERE to assess the work performed under this Award and determine whether the Recipient has made satisfactory progress toward the program goals stated in Attachment 4 (Annual Plan) and deliverables stated in Attachment 2 (Federal Assistance Reporting Checklist) to this Award.

EERE shall determine the frequency of review meetings and select the day, time, and location of each review meeting and shall do so in a reasonable and good faith manner. EERE will provide the Recipient with reasonable notice of the review meetings.

For each review meeting, the Recipient is required to provide a comprehensive overview of the project, including:

- The Recipient's program progress compared to the Annual Plan stated in Attachment 4 to this Award;
- The Recipient's actual expenditures compared to the approved Budget in Attachment 3 to this Award; and
- Other subject matter specified by the DOE Technical Project Officer.

B. Project Meetings

The Recipient is required to notify EERE in advance of scheduled tests and internal project meetings that would entail discussion of topics that could result in major changes to the baseline project technical scope/approach, cost, or schedule. Upon request by EERE, the Recipient is required to provide EERE with reasonable access (by telephone, webinar, or otherwise) to the tests and project meetings. The Recipient is not expected to delay any work under this Award for the purpose of government insight.

C. Site Visits

EERE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. The Recipient must provide, and must require subrecipients to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations

must be performed in a manner that does not unduly interfere with or delay the work.

D. EERE Access

The Recipient must provide any information, documents, site access, or other assistance requested by EERE for the purpose of its Federal stewardship or substantial involvement.

Term 7. NEPA Requirements

A. Authorization

DOE must comply with the National Environmental Policy Act (NEPA) prior to authorizing the use of Federal funds.

If the Recipient has a DOE executed Historic Preservation Programmatic Agreement (PA), EERE has determined that the "Allowable activities" listed in the Weatherization Assistance Program NEPA Determination (Attachment 6) are categorically excluded and require no further NEPA review. The Recipient is thereby authorized to use Federal funds for the "Allowable activities" listed in the Weatherization Assistance Program NEPA Determination, subject to the Recipient's compliance with paragraphs B. "Conditions" and C. "Future Modifications," and the restrictions listed in Attachment 6.

B. Conditions

- i. This authorization does not include activities involving ground-breaking activities, new construction, or projects involving the installation of onsite renewable energy technology that generate electricity from renewable sources, except those "Allowable activities" specifically listed in Attachment 6.
- ii. All "Allowable activities" must meet the restrictions set forth in Attachment 6.
- iii. The Recipient must adhere to the terms and restrictions of its DOE executed PA, state interagency agreement or similar agreement for historic preservation.
- iv. The Recipient must manage all incidental measures relating to hazardous materials in accordance with applicable Federal, state and local legal requirements.

C. Activities Not Listed As "Allowable Activities"

If the Recipient seeks to fund activities that do not qualify as "Allowable activities" as defined in Attachment 6, those activities or modified activities are subject to additional NEPA review and are not authorized for Federal funding unless and until the DOE Contracting Officer provides written authorization for those activities.

Should the Recipient elect to undertake activities prior to written authorization from the Contracting Officer, the Recipient does so at risk of not receiving Federal funding for those activities, and such costs may not be recognized as allowable cost share.

Term 8. Historic Preservation

A. Authorization

DOE must comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA) prior to authorizing the use of Federal funds. Section 106 applies to historic properties that are listed in or eligible for listing in the National Register of Historic Places. Recipients with a DOE-executed Programmatic Agreement (PA) must comply with the requirements identified in paragraph B. Conditions below.

B. Conditions

Recipients with a DOE executed PA for Historic Preservation

(AL, AK, AS, AZ, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, LA, ME, MD, MA, MI, MN, MO, MT, ND, NE, NV, NH, NJ, NM, NY, NC, OH, OK, PA, PR, SC, SD, TN, TX, UT, VT, VA, WA, WI, WY)

Recipients with a DOE executed historic preservation Programmatic Agreement (PA) must adhere to all the Stipulations of their PA. All DOE executed PAs are available on the Weatherization and Intergovernmental Programs website:

<https://www.energy.gov/eere/wipo/historic-preservation-executed-programmatic-agreements>

In addition to the Stipulations in their PAs, Recipients must notify EERE via GONEPA@ee.doe.gov whenever:

- Either the Recipient or the State Historic Preservation Office (SHPO)/Tribal Historic Preservation Office (THPO) believes that the Criteria of Adverse Effect pursuant to 36 CFR § 800.5, apply to the proposal under consideration by EERE;
- There is a disagreement between an Applicant, or its authorized representative, and the SHPO/THPO about the scope of the area of potential effects, identification and evaluation of historic properties and/or the assessment of effects;
- There is an objection from a consulting party or the public regarding their involvement in the review process established by 36 CFR Part 800, Section 106 findings and determinations, or implementation of agreed upon measures; or

There is the potential for a foreclosure situation or anticipatory demolition as defined under 36 CFR § 800.9 (b) and 36 CFR § 800.9 (c).

Term 9. Performance of Work in United States

A. Requirement

All work performed under this Award must be performed in the United States unless the Contracting Officer provides a waiver. This requirement does not apply to the purchase of supplies and equipment; however, the Recipient should make every effort to purchase supplies and equipment within the United States. The Recipient must flow down this requirement to its subrecipients.

B. Failure to Comply

If the Recipient fails to comply with the Performance of Work in the United States requirement, the Contracting Officer may deny reimbursement for the work conducted outside the United States and such costs may not be recognized as allowable Recipient cost share regardless if the work is performed by the Recipient, subrecipients, vendors or other project partners.

C. Waiver for Work outside the U.S.

All work performed under this Award must be performed in the United States. However, the Contracting Officer may approve the Recipient to perform a portion of the work outside the United States under limited circumstances. Recipient must obtain a waiver from the Contracting Officer prior to conducting any work outside the U.S. To request a waiver, the Recipient must submit a written waiver request to the Contracting Officer, which includes the following information:

- The rationale for performing the work outside the U.S.;
- A description of the work proposed to be performed outside the U.S.;
- Proposed budget of work to be performed; and
- The countries in which the work is proposed to be performed.

For the rationale, the Recipient must demonstrate to the satisfaction of the Contracting Officer that the performance of work outside the United States would further the purposes of the FOA or Program that the Award was selected under and is in the economic interests of the United States. The Contracting Officer may require additional information before considering such request.

Term 10. Foreign National Access Under DOE Order 142.3A, "Unclassified Foreign Visits and Assignments Program"

The Recipient may be required to provide information to DOE in order to satisfy requirements for foreign nationals' access to DOE sites, information, technologies, equipment, programs or personnel. A foreign national is defined as any person who is not a U.S. citizen by birth or naturalization. If the Recipient (including any of its subrecipients, contractors or vendors) anticipates involving foreign nationals in the performance of its award, the Recipient may be required to provide DOE with specific information about each foreign national to ensure

compliance with the requirements for access approval. National laboratory personnel already cleared for site access may be excluded. Access approval for foreign nationals from countries identified on the U.S. Department of State's list of State Sponsors of Terrorism must receive final approval authority from the Secretary of Energy or the Secretary's assignee before they commence any work under the award.

Term 11. Notice Regarding the Purchase of American-Made Equipment and Products – Sense of Congress

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this Award should be American-made.

Term 12. Reporting Requirements

A. Requirements

The reporting requirements for this Award are identified on the Federal Assistance Reporting Checklist, attached to this Award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the Award. Noncompliance may result in withholding of future payments, suspension, or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

B. Dissemination of scientific/technical reports

Scientific/technical reports submitted under this Award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the Award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).

C. Restrictions

Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

Term 13. Lobbying

By accepting funds under this Award, the Recipient agrees that none of the funds obligated on the Award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

Term 14. Publications

EERE encourages the Recipient to publish or otherwise make publicly available the results of work performed under this Award. The Recipient is required to include the following acknowledgement in publications arising out of, or relating to, work performed under this Award, whether copyrighted or not:

- *Acknowledgment:* "This material is based upon work supported by the U.S. Department of Energy's Office of Energy Efficiency and Renewable Energy (EERE) under the Weatherization Assistance Program Award Number DE-EE0007902."
- *Disclaimer:* "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

Term 15. No-Cost Extension

As provided in 2 CFR 200.308, the Recipient must provide the Contracting Officer with notice in advance if it intends to utilize a one-time, no-cost extension of this Award. The notification must include the supporting reasons and the revised period of performance. The Recipient must submit this notification in writing to the Contracting Officer and DOE Technology Manager/ Project Officer at least 30 days before the end of the current budget period.

Any no-cost extension will not alter the project scope, milestones, deliverables, or budget of this Award. Extensions require explicit prior Federal awarding agency approval when carrying forward unobligated balances to subsequent budget periods.

Term 16. Property Standards

The complete text of the Property Standards can be found at 2 CFR 200.310 through 200.316. Also see 2 CFR 910.360 for additional requirements for real property and equipment for For-Profit recipients.

Term 17. Insurance Coverage

See 2 CFR 200.310 for insurance requirements for real property and equipment acquired or improved with Federal funds. Also see 2 CFR 910.360(d) for additional requirements for real property and equipment for For-Profit recipients.

Term 18. Real Property

Subject to the conditions set forth in 2 CFR 200.311, title to real property acquired or improved under a Federal award will conditionally vest upon acquisition in the non-Federal entity. The non-Federal entity cannot encumber this property and must follow the requirements of 2 CFR 200.311 before disposing of the property.

Except as otherwise provided by Federal statutes or by the Federal awarding agency, real property will be used for the originally authorized purpose as long as needed for that purpose. When real property is no longer needed for the originally authorized purpose, the non-Federal entity must obtain disposition instructions from DOE or pass-through entity. The instructions must provide for one of the following alternatives: (a) retain title after compensating DOE as described in 2 CFR 200.311(c)(1); (b) Sell the property and compensate DOE as specified in 2 CFR 200.311(c)(2); or (c) transfer title to DOE or to a third party designated/approved by DOE as specified in 2 CFR 200.311(c)(3).

See 2 CFR 200.311 for additional requirements pertaining to real property acquired or improved under a Federal award. Also see 2 CFR 910.360 for additional requirements for real property for For-Profit recipients.

Term 19. Equipment

Subject to the conditions provided in 2 CFR 200.313, title to equipment (property) acquired under a Federal award will conditionally vest upon acquisition with the non-Federal entity. The non-Federal entity cannot encumber this property and must follow the requirements of 2 CFR 200.313 before disposing of the property.

A state must use equipment acquired under a Federal award by the state in accordance with state laws and procedures.

Equipment must be used by the non-Federal entity in the program or project for which it was acquired as long as it is needed, whether or not the project or program continues to be supported by the Federal award. When no longer needed for the originally authorized purpose, the equipment may be used by programs supported by DOE in the priority order specified in 2 CFR 200.313(c)(1)(i) and (ii).

Management requirements, including inventory and control systems, for equipment are provided in 2 CFR 200.313(d).

When equipment acquired under a Federal award is no longer needed, the non-Federal entity must obtain disposition instructions from DOE or pass-through entity.

Disposition will be made as follows: (a) items of equipment with a current fair market value of \$5,000 or less may be retained, sold, or otherwise disposed of with no further obligation to DOE; (b) Non-Federal entity may retain title or sell the equipment after compensating DOE as

described in 2 CFR 200.313(e)(2); or (c) transfer title to DOE or to an eligible third party as specified in 2 CFR 200.313(e)(3).

See 2 CFR 200.313 for additional requirements pertaining to equipment acquired under a Federal award. Also see 2 CFR 910.360 for additional requirements for equipment for For-Profit recipients. See also 2 CFR 200.439 Equipment and other capital expenditures.

Term 20. Supplies

See 2 CFR 200.314 for requirements pertaining to supplies acquired under a Federal award. See also 2 CFR 200.453 Materials and supplies costs, including costs of computing devices.

Term 21. Property Trust Relationship

Real property, equipment, and intangible property, that are acquired or improved with a Federal award must be held in trust by the non-Federal entity as trustee for the beneficiaries of the project or program under which the property was acquired or improved. See 2 CFR 200.316 for additional requirements pertaining to real property, equipment, and intangible property acquired or improved under a Federal award.

Term 22. Record Retention

Consistent with 2 CFR 200.333 through 200.337, the Recipient is required to retain records relating to this Award.

Term 23. Audits

A. Government-Initiated Audits

The Recipient is required to provide any information, documents, site access, or other assistance requested by EERE, DOE or Federal auditing agencies (e.g., DOE Inspector General, Government Accountability Office) for the purpose of audits and investigations. Such assistance may include, but is not limited to, reasonable access to the Recipient's records relating to this Award.

Consistent with 2 CFR part 200 as amended by 2 CFR part 910, DOE may audit the Recipient's financial records or administrative records relating to this Award at any time. Government-initiated audits are generally paid for by DOE.

DOE may conduct a final audit at the end of the project period (or the termination of the Award, if applicable). Upon completion of the audit, the Recipient is required to refund to DOE any payments for costs that were determined to be unallowable. If the audit has not been performed or completed prior to the closeout of the award, DOE retains the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

DOE will provide reasonable advance notice of audits and will minimize interference with ongoing work, to the maximum extent practicable.

B. Annual Independent Audits (Single audit or Compliance audit)

The Recipient is required to comply with the annual independent audit requirements in 2 CFR 200.500 through 521 for institutions of higher education, nonprofit organizations and state and local governments (Single audit), and 2 CFR 910.500 through 521 for for-profit entities (Compliance audit).

The annual independent audits are separate from Government-initiated audits discussed in part A. of this Term, and must be paid for by the Recipient. To minimize expense, the Recipient may have a compliance audit in conjunction with its annual audit of financial statements. The financial statement audit is not a substitute for the compliance audit. If the audit (Single audit or Compliance audit, depending on Recipient entity type) has not been performed or completed prior to the closeout of the award, DOE may impose one or more of the actions outlined in 2 CFR 200.338, Remedies for Noncompliance.

Subpart B. Financial Provisions

Term 24. Maximum Obligation

The maximum obligation of DOE for this Award is the total "Funds Obligated" stated in Block 13 of the Assistance Agreement Form to this Award.

Term 25. Continuation Application and Funding

A. Continuation Application

A continuation application is a non-competitive application for an additional budget period and extended project period. The continuation application shall be submitted to EERE in accordance with the annual Announcement/Grant Guidance that is issued.

B. Continuation Funding

Continuation funding is contingent on (1) the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) Recipient's satisfactory progress towards meeting the objectives of the Weatherization Assistance Program; (3) Recipient's submittal of required reports; and (4) Recipient's compliance with the terms and conditions of the Award.

Term 26. Refund Obligation

The Recipient must refund any excess payments received from EERE, including any costs determined unallowable by the Contracting Officer. Upon the end of the project period (or the

termination of the Award, if applicable), the Recipient must refund to EERE the difference between (1) the total payments received from EERE, and (2) the Federal share of the costs incurred.

Term 27. Allowable Costs

EERE determines the allowability of costs through reference to 2 CFR part 200 as amended by 2 CFR part 910. All project costs must be allowable, allocable, and reasonable. The Recipient must document and maintain records of all project costs, including, but not limited to, the costs paid by Federal funds, costs claimed by its subrecipients and project costs that the Recipient claims as cost sharing, including in-kind contributions. The Recipient is responsible for maintaining records adequate to demonstrate that costs claimed have been incurred, are reasonable, allowable and allocable, and comply with the cost principles. Upon request, the Recipient is required to provide such records to EERE. Such records are subject to audit. Failure to provide EERE adequate supporting documentation may result in a determination by the Contracting Officer that those costs are unallowable.

The Recipient is required to obtain the prior written approval of the Contracting Officer for any foreign travel costs.

Term 28. Indirect Costs

The Recipient has a federally approved negotiated indirect cost rate agreement of 4.07% and it applies uniformly across all Federal awards. These costs shall be trued up (actual incurred costs) on an annual basis with the Recipient's cognizant agency.

A. Lower-than-Expected Indirect Costs

If the Recipient's actual allowable indirect costs are less than those budgeted in Attachment 3 to this Award, the Recipient may use the difference to pay additional allowable direct costs during the project period. If annual true up reveals that the Government share of total allowable incurred indirect costs is less than the cost reimbursed, the Recipient must refund the difference as soon as costs are reconciled.

B. Higher-than-Expected Indirect Costs

The Recipient understands that it is solely and exclusively responsible for managing its indirect costs. The Recipient further understands that EERE will not amend this Award solely to provide additional funds to cover increases in the Recipient's indirect cost rate.

EERE recognizes that the Recipient may not be fully reimbursed for increases in its indirect cost rate, which may result in under-recovery. In the event that the Recipient is not fully reimbursed for increases in its indirect cost rate, the Recipient may use any under-recovery to meet its cost sharing obligations under this Award, with prior approval from the Contracting Officer.

C. Subrecipient Indirect Costs

The Recipient must ensure its subrecipient's indirect costs are appropriately managed, allowable and otherwise comply with the requirements of this Award and 2 CFR part 200 as amended by 2 CFR part 910.

Term 29. Decontamination and/or Decommissioning (D&D) Costs

Notwithstanding any other provisions of this Award, the Government shall not be responsible for or have any obligation to the Recipient for (1) Decontamination and/or Decommissioning (D&D) of any of the Recipient's facilities, or (2) any costs which may be incurred by the Recipient in connection with the D&D of any of its facilities due to the performance of the work under this Award, whether said work was performed prior to or subsequent to the effective date of the Award.

Term 30. Use of Program Income

If the Recipient earns program income during the project period as a result of this Award, the Recipient must add the program income to the funds committed to the Award and use it to further eligible project objectives.

Term 31. Payment Procedures**A. Method of Payment**

Payment will be made by advances through the Department of Treasury's ASAP system.

B. Requesting Advances

Requests for advances must be made through the ASAP system. The Recipient may submit requests as frequently as required to meet its needs to disburse funds for the Federal share of project costs. If feasible, the Recipient should time each request so that the Recipient receives payment on the same day that the Recipient disburses funds for direct project costs and the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close to actual disbursements as administratively feasible.

C. Adjusting Payment Requests for Available Cash

The Recipient must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from EERE.

D. Payments

All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that the Recipient filed with the U.S. Department of Treasury.

E. Unauthorized Drawdown of Federal Funds

For each budget period, the Recipient may not spend more than the Federal share authorized to that particular budget period, without specific written approval from the Contracting Officer. The Recipient must immediately refund EERE any amounts spent or drawn down in excess of the authorized amount for a budget period. The Recipient and subrecipients shall promptly, but at least quarterly, remit to DOE interest earned on advances drawn in excess of disbursement needs, and shall comply with the procedure for remitting interest earned to the Federal government per 2 CFR 200.305, as applicable.

Term 32. Budget Changes**A. Budget Changes Generally**

The Contracting Officer has reviewed and approved the SF-424A in Attachment 3 to this Award.

Any increase in the total project cost, whether DOE share or Cost Share, which is stated as "Total" in Block 12 to the Assistance Agreement of this Award, must be approved in advance and in writing by the Contracting Officer.

Any budget change that alters the project scope, milestones or deliverables requires prior written approval of the Contracting Officer. EERE may deny reimbursement for any failure to comply with the requirements in this term.

B. Transfers of Funds among Direct Cost Categories.

The Recipient is required to submit written notification via email (not in PAGE) to the Project Officer identified in the Assistance Agreement of any transfer of funds among direct cost categories and/or functions where the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total project cost, which is stated as "Total" in Block 12 to the Assistance Agreement Form of this Award.

Upon receipt of adequate notification documentation by the Project Officer, the recipient is hereby authorized to transfer funds among direct cost categories for program activities consistent with their approved State/Annual Plan, without prior approval by the awarding agency.

Limitations in existing rules and guidance, including Administration and Training and Technical Assistance (T&TA), along with prior approval of equipment as detailed in the respective year's WAP Grant Guidance and in the regulations still apply.

C. Transfer of Funds Between Direct and Indirect Cost Categories

The Recipient is required to obtain the prior written approval of the Contracting

Officer for any transfer of funds between direct and indirect cost categories. If the Recipient's actual allowable indirect costs are less than those budgeted in Attachment 3 to this Award, the Recipient may use the difference to pay additional allowable direct costs during the project period so long as the total difference is less than 10% of total project costs and the difference is reflected in actual requests for reimbursement to DOE.

Term 33. Carryover of Unobligated Balances

The recipient is hereby authorized to carry over unobligated balances of Federal and non-Federal funds from one budget period to a subsequent budget period, for program activities consistent with their approved State/Annual Plan, without prior approval by the Contracting Officer. Should the recipient wish to use carryover funds for activities that are not consistent with the approved State/Annual Plan, a budget revision application must be submitted for approval by DOE.

For purposes of this award, an unobligated balance is the portion of the funds authorized by DOE that have not been obligated by the recipient at the end of a budget period. Recipients are advised to carefully manage grant funds to minimize unobligated balances each year, but especially at the end of the grant project period.

Subpart C. Miscellaneous Provisions

Term 34. Reporting Subawards and Executive Compensation

A. Reporting of first-tier subawards

- i. *Applicability.* Unless the Recipient is exempt as provided in paragraph D. of this award term, the Recipient must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph E. of this award term).
- ii. *Where and when to report.*
 1. The Recipient must report each obligating action described in paragraph A.i. of this award term to <https://www.fsrc.gov>.
 2. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

- iii. *What to report.* The Recipient must report the information about each obligating action that the submission instructions posted at <https://www.fsrs.gov> specify.

B. Reporting Total Compensation of Recipient Executives

- i. *Applicability and what to report.* The Recipient must report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if
1. The total Federal funding authorized to date under this Award is \$25,000 or more;
 2. In the preceding fiscal year, the Recipient received;
 - a. 80 percent or more of the Recipient's annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - b. \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 3. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>)
- ii. *Where and when to report.* The Recipient must report executive total compensation described in paragraph B.i. of this award term:
1. As part of the Recipient's registration profile at <https://www.sam.gov>.
 2. By the end of the month following the month in which this award is made, and annually thereafter.

C. Reporting of Total Compensation of Subrecipient Executives

- i. *Applicability and what to report.* Unless the Recipient is exempt as provided in paragraph D. of this award term, for each first-tier subrecipient under this award, the Recipient shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if
 1. In the subrecipient's preceding fiscal year, the subrecipient received;
 - a. 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - b. \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 2. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>)
- ii. *Where and when to report.* The Recipient must report subrecipient executive total compensation described in paragraph C.i. of this award term:
 1. To the recipient.
 2. By the end of the month following the month during which the Recipient makes the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), the Recipient must report any required compensation information of the subrecipient by November 30 of that year.

D. Exemptions

If, in the previous tax year, the Recipient had gross income, from all sources, under \$300,000, it is exempt from the requirements to report:

- i. Subawards and;
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

E. Definitions

For purposes of this Award term:

- i. Entity means all of the following, as defined in 2 CFR Part 25:
 - 1. A Governmental organization, which is a State, local government, or Indian tribe;
 - 2. A foreign public entity;
 - 3. A domestic or foreign nonprofit organization;
 - 4. A domestic or foreign for-profit organization;
 - 5. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- ii. Executive means officers, managing partners, or any other employees in management positions.
- iii. Subaward:
 - 1. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the Recipient received this award and that the recipient awards to an eligible subrecipient.
 - 2. The term does not include the Recipient's procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.501 Audit requirements, (f) *Subrecipients and Contractors* and/or 2 CFR 910.501 Audit requirements, (f) *Subrecipients and Contractors*).
 - 3. A subaward may be provided through any legal agreement, including an agreement that the Recipient or a subrecipient considers a contract.
- iv. Subrecipient means an entity that:
 - 1. Receives a subaward from the Recipient under this award; and
 - 2. Is accountable to the Recipient for the use of the Federal funds

provided by the subaward.

- v. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
1. Salary and bonus.
 2. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 3. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 5. Above-market earnings on deferred compensation which is not tax-qualified.
 6. Other compensation, if the aggregate value of all such other compensation (*e.g.* severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

Term 35. System for Award Management and Universal Identifier Requirements

A. Requirement for Registration in the System for Award Management (SAM)

Unless the Recipient is exempted from this requirement under 2 CFR 25.110, the Recipient must maintain the currency of its information in SAM until the Recipient submits the final financial report required under this Award or receive the final payment, whichever is later. This requires that the Recipient reviews and updates the information at least annually after the initial registration, and more frequently if required by changes in its information or another award term.

If the Recipient had an active registration in the CCR, it has an active registration in SAM.

B. Requirement for Data Universal Numbering System (DUNS) Numbers

If the Recipient is authorized to make subawards under this Award, the Recipient:

- i. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from the Recipient unless the entity has provided its DUNS number to the Recipient.
- ii. May not make a subaward to an entity unless the entity has provided its DUNS number to the Recipient.

C. Definitions

For purposes of this award term:

- i. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <https://www.sam.gov>).
- ii. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
- iii. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR Part 25, subpart C:
 1. A Governmental organization, which is a State, local government, or Indian Tribe;
 2. A foreign public entity;
 3. A domestic or foreign nonprofit organization;
 4. A domestic or foreign for-profit organization; and
 5. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- iv. Subaward:
 1. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the Recipient received this Award and that the Recipient awards to an eligible subrecipient.
 2. The term does not include the Recipient's procurement of property

and services needed to carry out the project or program (for further explanation, see 2 CFR 200.501 Audit requirements, (f) *Subrecipients and Contractors* and/or 2 CFR 910.501 Audit requirements, (f) *Subrecipients and Contractors*).

3. A subaward may be provided through any legal agreement, including an agreement that the Recipient considers a contract.

v. Subrecipient means an entity that:

1. Receives a subaward from the Recipient under this Award; and
2. Is accountable to the Recipient for the use of the Federal funds provided by the subaward.

Term 36. Nondisclosure and Confidentiality Agreements Assurances

- A. By entering into this agreement, the Recipient attests that it **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- B. The Recipient further attests that it **does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
 - i. *"These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."*
 - ii. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

- iii. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

Term 37. Subrecipient Change Notification

Except for subawards and/or subcontracts specifically proposed as part of the Recipient's Application for award, the Recipient must notify the Contracting Officer and Project Manager in writing 30 days prior to the execution of new or modified subrecipient agreements, including naming any To Be Determined subrecipients. This notification does not constitute a waiver of the prior approval requirements outlined in 2 CFR part 200 as amended by 2 CFR part 910, nor does it relieve the Recipient from its obligation to comply with applicable Federal statutes, regulations, and executive orders.

In order to satisfy this notification requirement, the Recipient documentation must, as a minimum, include the following:

- A description of the research to be performed, the service to be provided, or the equipment to be purchased;
- Cost share commitment letter if the subawardee is providing cost share to the Award;
- An assurance that the process undertaken by the Recipient to solicit the subaward/subcontract complies with their written procurement procedures as outlined in 2 CFR 200.317 through 200.329.
- An assurance that no planned, actual or apparent conflict of interest exists between the Recipient and the selected subawardee/subcontractor and that the Recipient's written standards of conduct were followed¹;
- A completed Environmental Questionnaire, if applicable;

¹ It is DOE's position that the existence of a "covered relationship" as defined in 5 CFR 2635.502(a)&(b) between a member of the Recipient's owners or senior management and a member of a subawardee's/subcontractor's owners or senior management creates at a minimum an apparent conflict of interest that would require the Recipient to notify the Contracting Officer and provide detailed information and justification (including, for example, mitigation measures) as to why the subaward or subcontract does not create an actual conflict of interest. The Recipient must also notify the Contracting Officer of any new subcontract or subaward to: (1) an entity that is owned or otherwise controlled by the Recipient; or (2) an entity that is owned or otherwise controlled by another entity that also owns or otherwise controls the Recipient, as it is DOE's position that these situations also create at a minimum an apparent conflict of interest.

- An assurance that the subrecipient is not a debarred or suspended entity; and
- An assurance that all required award provisions will be flowed down in the resulting subrecipient agreement.

The Recipient is responsible for making a final determination to award or modify subrecipient agreements under this agreement, but the Recipient may not proceed with the subrecipient agreement until the Contracting Officer determines, and provides the Recipient written notification, that the information provided is adequate.

Should the Recipient not receive a written notification of adequacy from the Contracting Officer within 30 days of the submission of the subrecipient agreement documentation stipulated above, Recipient may proceed to award or modify the proposed subrecipient agreement.

Term 38. Minimum Privacy Protections Regarding Applicant Information

- A. States, Tribes and their subawardees, including, but not limited to subrecipients, subgrantees, contractors and subcontractors that participate in the Weatherization Assistance Program (WAP) are required to treat all requests for information concerning applicants and recipients of WAP funds in a manner consistent with the federal government's treatment of information requested under the Freedom of Information Act (FOIA), 5 U.S.C. 552, including the privacy protections contained in Exemption (b)(6) of the FOIA, 5 U.S.C. 552(b)(6). Under 5 U.S.C. 552(b)(6), information relating to an individual's eligibility application or the individual's participation in the program, such as name, address, or income information, are generally exempt from disclosure.
- B. A balancing test must be used in applying Exemption (b)(6) in order to determine:
 - i. whether a significant privacy interest would be invaded;
 - ii. whether the release of the information would further the public interest by shedding light on the operations or activities of the Government; and
 - iii. whether in balancing the privacy interests against the public interest, disclosure would constitute a clearly unwarranted invasion of privacy.
- C. A request for personal information including but not limited to the names, addresses, or income information of WAP applicants or recipients would require the state or other service provider to balance a clearly defined public interest in obtaining this information against the individuals' legitimate expectation of privacy.
- D. Given a legitimate, articulated public interest in the disclosure, States and other service providers may release information regarding recipients in the aggregate that

does not identify specific individuals. However, a State or service provider must apply a FOIA Exemption (b)(6) balancing test to any request for information that cannot be satisfied by such less-intrusive methods.

Term 39. Conference Spending

The Recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

Term 40. Recipient Integrity and Performance Matters

A. General Reporting Requirement

If the total value of your currently active Financial Assistance awards, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this term. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

B. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- i. Is in connection with the award or performance of a Financial Assistance, cooperative agreement, or procurement contract from the Federal Government;
- ii. Reached its final disposition during the most recent five year period; and
- iii. Is one of the following:
 1. A criminal proceeding that resulted in a conviction, as defined in paragraph E of this award term and condition;
 2. A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;

3. An administrative proceeding, as defined in paragraph E of this term, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
4. Any other criminal, civil, or administrative proceeding if:
 - a. It could have led to an outcome described in paragraph B.iii.1, 2, or 3 of this term;
 - b. It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
 - c. The requirement in this term to disclose information about the proceeding does not conflict with applicable laws and regulations.

C. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph B of this term. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

D. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph A of this term, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, Financial Assistance awards, (including cooperative agreement awards) with a cumulative total value greater than \$10,000,000, must disclose semiannually any information about the criminal, civil, and administrative proceedings.

E. Definitions

For purposes of this term:

- i. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or Financial Assistance awards. It does not include audits, site visits, corrective plans, or inspection of deliverables.

- ii. Conviction means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of *nolo contendere*.
- iii. Total value of currently active Financial Assistance awards, cooperative agreements and procurement contracts includes—
 - 1. Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
 - 2. The value of all expected funding increments under a Federal award and options, even if not yet exercised.

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Alabama 401 Adams Avenue - Suite 560 Montgomery, AL 361035690		4. Program/Project Start Date 04/01/2020	5. Completion Date 03/31/2021

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 2020 WAP Formula Funds	81.042	\$ 260,000.00		\$ 3,443,053.00		\$ 3,703,053.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 260,000.00	\$ 0.00	\$ 3,443,053.00	\$ 0.00	\$ 3,703,053.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 19,237.00	\$ 0.00	\$ 110,293.00	\$ 0.00	\$ 129,530.00
b. Fringe Benefits	\$ 7,971.00	\$ 0.00	\$ 43,432.00	\$ 0.00	\$ 51,403.00
c. Travel	\$ 0.00	\$ 0.00	\$ 29,525.00	\$ 0.00	\$ 29,525.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 2,500.00	\$ 0.00	\$ 2,500.00
f. Contract	\$ 0.00	\$ 172,276.00	\$ 52,189.00	\$ 156,000.00	\$ 3,309,248.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 1,026.00	\$ 0.00	\$ 36,026.00
i. Total Direct Charges	\$ 27,208.00	\$ 172,276.00	\$ 238,965.00	\$ 156,000.00	\$ 3,558,232.00
j. Indirect Costs	\$ 144,821.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 144,821.00
k. Totals	\$ 172,029.00	\$ 172,276.00	\$ 238,965.00	\$ 156,000.00	\$ 3,703,053.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Alabama 401 Adams Avenue - Suite 560 Montgomery, AL 361035690		4. Program/Project Start Date 04/01/2020	5. Completion Date 03/31/2021

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 260,000.00	\$ 0.00	\$ 3,443,053.00	\$ 0.00	\$ 3,703,053.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 129,530.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 51,403.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 29,525.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 2,500.00
f. Contract	\$ 2,366,383.00	\$ 495,000.00	\$ 34,600.00	\$ 32,800.00	\$ 3,309,248.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 35,000.00	\$ 0.00	\$ 36,026.00
i. Total Direct Charges	\$ 2,366,383.00	\$ 495,000.00	\$ 69,600.00	\$ 32,800.00	\$ 3,558,232.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 144,821.00
k. Totals	\$ 2,366,383.00	\$ 495,000.00	\$ 69,600.00	\$ 32,800.00	\$ 3,703,053.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Alabama Council on Human Relations, Inc. (Auburn)	\$124,675.00 16
Central Alabama Regional Planning and Development Commission (CARPDC) (Montgomery)	\$291,917.00 42
Community Action Agency of Northeast Alabama, Inc (Rainsville)	\$325,655.00 46
Community Action Agency of Northwest Alabama, Inc. (Florence)	\$128,255.00 17
Community Action Agency of South Alabama, Inc. (Daphne)	\$218,125.00 30
Community Action Agency of Talladega, Clay, Randolph, Calhoun and Cleburne Counties (Talladega)	\$197,793.00 26
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa (Dadeville)	\$78,418.00 10
Community Action Partnership of Huntsville/ Madison and Limestone Counties, Inc. (Huntsville)	\$196,939.00 26
Community Action Partnership of North Alabama, Inc. (Decatur)	\$244,123.00 34
Community Service Programs of West Alabama, Inc (Tuscaloosa)	\$229,705.00 32
Jefferson County Committee for Economic Opportunity (Birmingham)	\$421,578.00 60
Mobile Community Action, Inc. (Mobile)	\$326,697.00 46
Montgomery County Commission, c/o Central Alabama Regional Planning and Development Commission (Montgomery)	\$175,434.00 24
Organized Community Action Program, Inc. (Troy)	\$297,745.00 41
Total:	\$3,257,059.00 450

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	450
Rewatherized Units	0
Note: Planned units by quarter or category are no longer required, no information required for persons.	

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	450
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	450
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

F	Total Funds for Program Operations	\$2,366,383.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	450
H	Average Program Operations Costs per Unit (F divided by G)	\$5,258.63
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$5,258.63

IV.3 Energy Savings

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	450	29.3	13185
Prior Year Estimate	480	29.3	14064
Prior Year Actual	217	29.3	6358
Method used to calculate savings description:			

IV.4 DOE-Funded Leveraging Activities

LEVERAGING ACTIVITIES

Low-Income Home Energy Assistance Program (LIHEAP) funds are provided through the U.S. Department of Health and Human Services. LIHEAP funds can be used in conjunction with DOE funds. LIHEAP funds will be available for weatherization activities in Program Year 2019.

In accordance with 440.14 (b)(9)(xiv), The State of Alabama encourages subgrantees to utilize private resources to increase the amount of assistance to eligible clients. No State funds are available for weatherization projects and since all subgrantees are public or nonprofit entities they must rely solely on Federal Funds (LIHEAP and DOE).

IV.5 Policy Advisory Council Members

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

Jennifer Young	Type of organization: Unit of State Government Contact Name: Jennifer Young Phone: 3343533006 Email: jennifer.young@adeca.alabama.gov
Mr. Donny Barber	Type of organization: Non-profit (not a financial institution) Contact Name: Donny Barber Phone: 3342624300 Email: dbarber@carpdc.com
Mr. Kevin Abbott	Type of organization: Non-profit (not a financial institution) Contact Name: Kevin Abbot Phone: 2566384430 Email: kevinab@farmerstel.com
Mr. Kris Rowe	Type of organization: Non-profit (not a financial institution) Contact Name: Kris Rowe Phone: 2512622646 Email: kris.rowe@caaofsa.org
Ms. Deloris Mastin	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Deloris Mastin Phone: 2568519800 Email: dmastin@caa-hitsval.org
Ms. Jennifer Lee	Type of organization: Unit of State Government Contact Name: Jennifer Lee Phone: 3343533005 Email: jennifer.lee@adeca.alabama.gov

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

Ms. Marquita Lennon	Type of organization: Unit of State Government Contact Name: Ms. Marquita Lennon Phone: 3342422698 Email: marquita.lennon@psc.alabama.gov
Ms. Misty Barnes	Type of organization: Unit of State Government Contact Name: Misty Barnes Phone: 3343538712 Email: misty.barnes@adss.alabama.gov
Ms. Monica Eubanks	Type of organization: Non-profit (not a financial institution) Contact Name: Monica Eubanks Phone: 2054697076 Email: meubanks@cspwal.com
Tanganyika Grayson	Type of organization: Utility Contact Name: Tanganyika Grayson Phone: 2052572357 Email: teravso@southernmco.com

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
01/24/2020	Sub-grantees were notified by mail of a public hearing on January 3, 2020.
01/24/2020	The Mobile Press Register and the Birmingham News ran ad for public hearing on January 10, 2020. The Montgomery Independent ran ad for public hearing on January 9, 2020. Hearing is to take place on January 24, 2020
01/24/2020	Notice was posted on the Secretary Of State Website as required by the Alabama Open Meetings Act on December 23, 2019. Public hearing was held January 24, 2020.

IV.7 Miscellaneous

<p>Alabama entered into a Programmatic Agreement with the State Historic Preservation Office on April 6, 2010.</p> <p>Notices for Public Hearings are posted on the Secretary of State Website as required by the Open Meetings Act https://www.openmeetings.alabama.gov/generalpublic/display_notices.aspx Notice of Public Hearing is also posted in newspapers throughout the State. Notices are attached.</p> <p>Additionally subgrantees are notified of a public hearing by email and standard mail.</p> <p>Notices are posted to give required 10 days notice.</p> <p>America Customer Satisfaction Index(ACSI)</p> <p>In reviewing current scores with previous scores most areas improved or remained consistent, while two areas decreased.</p> <p><u>Training provided by Third Parties</u></p> <p>In particular the cost of training took the largest drop, but training was lower over all as well.</p> <p>The grantee is working with the subgrantees to determine what training is needed and how to best provide that training. In the coming year we plan to release an RFP to procure Comprehensive Training for the WAP network in Alabama.</p> <p><u>Monitoring and Corrective Action</u></p> <p>This section fell as well but only by two points overall. The two areas with the most significant drop were Timeliness and Clarity. It seems these may have been a little bit of an anomaly because the monitoring process has not really changed and when given the opportunity to provide suggestions for improvement there were either no responses or the response was favorable. We will however continue to complete and provide feedback in a timely manner.</p> <p>Both of these topics will be discussed and reviewed with subgrantees during the quarterly meeting in May.</p>
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U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007902, State: AL, Program Year: 2020)

During the discussion we will clarify the subgrantees concerns develop steps to address the issues.

The ACSI survey provided helpful information indicating areas we do well and areas that need improvement, we look forward to the planned follow up to see if we have maintained and/or improved our level of satisfaction.

Recipient Principal Investigator: Trent Williams
E-mail: trent.williams@adeca.alabama.gov
Phone: 334-242-5373

Recipient Business Officer: Kenneth W. Boswell, Director
E-mail: kenneth.boswell@adeca.alabama.gov
Phone: 334-242-5594

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

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

General Description

Income data for the 12 months preceding the date of application is used. The State provides subgrantees with an "Application for Weatherization Assistance Form" containing information that must be obtained from prospective program participants before a decision can be made on their eligibility for weatherization assistance. All applicants are required to identify the amount and source of income for their household. In addition, they have to indicate whether they rent or own their home. All applicants are required to sign their application, testifying to the correctness of their statements. Falsification of an application is subject to prosecution. Income is defined as the items listed in Weatherization Program Notices (WPN) that dictate Poverty Income Guidelines.

To be eligible for WAP services, an applicant must have a gross annual household income at or below 200 percent of the poverty level as published by the U.S. Department of Health and Human Services.

Describe what household eligibility basis will be used in the Program

No dwelling unit may be weatherized without documentation that the dwelling unit is an eligible unit. A standard weatherization application is used by local Community Action Agencies (CAA's). This application requires that all household income be calculated, per DOE requirements. It also requires that income and home ownership is verified by Agency staff. Income Eligibility Limits will follow the 200% of poverty guidelines updated yearly in DOE Program Notices.

CAAs are required to maintain a signed weatherization program application in the clients file.

A record of previously weatherized dwelling units by address is maintained in FACSPRO. The address is checked prior to scheduling a household for service to see whether that the house has been previously weatherized. If the house has been previously weatherized before 9/30/1994 with DOE funds then it is eligible for reweatherization, as defined 10 CFR 440.18. If the house is eligible for reweatherization, the subgrantee makes a determination whether or not to reweatherize the house based on a number of factors.

If weatherization services do not begin within 12 months of the eligibility determination date, the household's eligibility must be redetermined.

Priorities are described in Section V.5.

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

Alabama will follow the policies outlined in "Summary of Immigrant Eligibility Restrictions Under Current Law as of 2/25/2009" in the HHS Guidelines, when determining eligibility of qualified and non qualified aliens.

Requirements for Qualified Aliens

A Qualified Alien is defined in 8 U.S.C. § 1641 and is eligible for weatherization if all other points of eligibility are met.

Additional information can also be found in *LIHEAP IM HHS Guidance on the Use of Social Security Numbers (SSNs) and Citizenship Status Verification* Published December 12, 2014

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

FACSPRO, the intake system utilized by all subgrantees, will ask the intake worker to verify all members of a household to determine the number of priority points for the applicant (see below) and ages of members of the household. Household income documentation must be retained in the client file as well. Proof of ownership is required. If the unit is a rented unit, the owner/landlord must sign a rental release form which specifies that rent will not be raised solely due to the increased value because of weatherization and that no undue or excessive enhancement shall occur to the value of the dwelling. The FACSPRO system maintains weatherized

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

addresses from 2002- present individual agencies may have additional records.

Describe Reweathering compliance

Alabama will follow the requirements of CFR 440:

10 CFR Part 440.18(e)(2)(ii) states that a dwelling unit that has been previously weatherized under the Weatherization Assistance Program may receive additional weatherization services if such dwelling unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance.

10 CFR Part 440.18(e)(2)(iii) states that dwelling units partially weatherized under this part or under other Federal programs during the period of September 30, 1975 through September 30, 1994, may receive further financial assistance for weatherization under this part.

The state uses the Families, Agencies, Community Services Program (FACSPRO) System. This system will be used to insure that homes that have been weatherized after September 30, 1994 are not eligible for reweatherization. To ensure accurate records of weatherized homes are maintained the use of FACSPRO will be required by all agencies during the Program Year. The FACSPRO system maintains weatherized addresses from 2002- present individual agencies may have additional records.

Describe what structures are eligible for weatherization

Structures eligible for weatherization include single family and manufactured housing. All structures must be stationary and have a specific mailing (street) address. Campers and non-stationary trailers are not eligible.

Mobile Homes with pitched, bowstring, and flat roofs; with vented and unvented walls; lengthwise, and widthwise joists are common characteristics of typical mobile homes. If a mobile home does not fall within these categories it is not considered typical and a house specific MHEA will be required.

Single-family dwellings ranging from 500 to 2,000 sq. ft., wood or masonry framed on slab, crawl space, or pier foundation with unfinished and kneewall attics are eligible to be weatherized using the Priority Measures List. Dwellings that differ in construction, condition, or energy use from those listed above will require the site-specific application of NEAT

Multi family units that are 4 units or less may be weatherized using NEAT Energy Audit Tool. Multifamily units greater than 4 units must use a DOE approved Multi Family Energy Audit tool. The audit will be submitted to DOE for review and approval prior to work being performed.

Units located above shops or stores will be evaluated with input from DOE on a house by house basis.

A Programmatic agreement is chartered between DOE, the Advisory Council on Historic Preservation and the National Conference of State Historic Preservation Officers. The programmatic agreement works to eliminate a backlog of houses from unnecessary review and streamline the process of completing weatherization projects. Through this agreement DOE made the Advisory Council aware of what the specifics of the Weatherization Assistance Program are and that most measures do not alter the structure of homes. Based on the WAP Priority Measures list, this agreement exempts most of the measures performed through weatherization from Section 106 review. A list of these exempt measures was laid out in the appendices of the Programmatic Agreement. The list was compiled with the WAP Priority Measures list as guidance.

Describe how Rental Units/Multifamily Buildings will be addressed

In order to insure the benefits of weatherization accrue primarily to the low income tenants, subgrantees are required to have a Rental Release Form signed by the Client/Tenant and the Landlord/Owner.

This form allows the CAA to perform weatherization work on the home and also prohibits the landlord/owner from raising the rent for a period of one year based solely on the increased value of the dwelling because of weatherization.

No undue or excessive enhancement shall occur to the value of the dwelling unit. The weatherization program is primarily an energy efficiency program not a home repair and rehabilitation program. Extensive repair and rehabilitation measures outside the scope of weatherization such as roof and siding replacement, home improvement/beautification, etc. are not allowed with DOE funds.

Multi-family units may be weatherized. Multi family units are eligible if the following criteria are met. 66% of the units must be income eligible to weatherize a multi-family unit with 5 or more units; 50% must be income eligible to weatherize a multi-family dwelling of 4 units or less.

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

Multi-Family units that are 4 units or less must use the Single Family Audit Tool (NEAT) .

Multi Family Units greater than 4 units must use a DOE approved Multi-Family Energy Audit. The audit will be submitted to the Grantee who will submit it to DOE for review and approval before any work may be done.

Additionally, (NEAT) can be used for individually heated and cooled units under 25 units, in addition to sending to DOE for prior approval.

Describe the deferral Process

See Deferral Policy which is part of Health and Safety Plan

V.1.3 Definition of Children

Definition of children (below age): 18

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.

Low-Income Members of Indian Tribes

The State of Alabama will ensure that eligible members of Indian tribes will receive benefits equivalent to the assistance provided to other low income persons within the State of Alabama. ADECA stipulates that local program operators assure weatherization activities to include low-income Native Americans.

V.2 Selection of Areas to Be Served

Selection of Areas to be served

The agencies operating the WAP in Alabama have service areas which the appropriate public officials designated when establishing the agencies. These service areas are recognized by ADECA in determining areas to be served by weatherization projects operated by either a Community Action Agency or local government entity. All of Alabama's 67 counties are served. Applicants are served based on the Priority Points received during application. Applicants with the highest points are served first. Occasionally, an agency will come across a dwelling that may not rank as high on the point system as others, yet be cause of some unusual circumstance, such as illness, storm damage or other, the need for weatherization services is great, and the dwelling may be weatherized. Also, the subgrantee may group dwellings having lower priority points with dwellings having higher priority points for program efficiency purposes. Any deviation from the usual procedure requires documentation be maintained in the client file.

In the event an agency cannot fulfill the terms of its contract for whatever reason the state will use a temporary alternate subgrantee to provide weatherization services for the area until a new subgrantee for that area can be selected through RFP process. This will help minimize the disruption for the service area until an new subgrantee is in place.

The formula used to allocate funds to each county in Alabama is based on the percentage of population in poverty in each county, each county received an amount of funds based on percentage in poverty. In turn each agency is allocated funds based on which counties they serve.

The State of Alabama ensures that in selecting WAP subgrantees, preference is given to Community Action Agencies or other public or nonprofit entities that have, or are currently administering, an effective program, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:

The extent to which the past or current program achieved or is achieving weatherization goals in a timely fashion;

The quality of work performed by the subgrantee and;

The number, qualifications and experience of the staff members of the subgrantee.

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

ADECA ensures that the funds received from the Department of Energy (DOE) for the WAP will be allocated in accordance with DOE's selection criteria for subgrantees. These funds will be allocated to areas on the basis of the relative need for a weatherization project by low-income persons. These allocations will be based entirely on the percentage of the State's poor persons in each county served by the subgrantees.

Funds are allocated based on the U. S. Census Poverty Percentage Factor Data. The percentage below poverty figure for each county is applied. This ensures that funds are allocated to all areas based on relative need.

Multi-county subgrantees will be required to adhere to each county's allocation of WAP funds by weatherizing a proportional number of units within each county of its service area in relation to its total WAP allocation.

V.3 Priorities

Priorities

In identifying and providing weatherization assistance, priority is given to elderly and disabled low-income persons, families with small children, and other high energy consuming dwelling units according to the following standard statewide prioritization procedures. These procedures are based upon a Priority Point System in which points are assigned as follows:

Priority Point System:

1. If head of household is disabled - 10 points
2. If head of household is elderly (60 or over) - 10 points
3. Household with children under 18 years of age - 10 points
4. If one or more members of the household is elderly and/or disabled - 5 points
5. High Energy Consumers (utility bill \$200.00 or more) or LIHEAP Client- 5 points
6. High Energy Burden (residential energy burden exceeds median level of energy burden) - 5 points

Applications with the highest number of points will be weatherized first. Occasionally an agency will come across a dwelling that may not rank as high on the point system as others, yet because of some unusual circumstance, such as illness, storm damage or other, the need for weatherization assistance is great. In such cases the agency may make an exception and weatherize that dwelling. The purpose of the Priority Points System is to assist subgrantees in identifying the dwelling units most in need of weatherization assistance according to the established priorities. If an agency has 70 applications on hand from one county and only enough funding to complete 40 dwelling units, obviously some applicants will not be served with funds currently available. The Priority Points System provides for a fair and consistent means of evaluating and selecting which clients can be served and in what order.

V.4 Climatic Conditions

The climatic conditions for the major urban areas of Alabama are included in each year's State Plan. This data was obtained from the National Weather Service. The climatic variances within the state influence certain procedures utilized in the WAP.

The State of Alabama falls into two major climactic zones.

The State is divided through the middle, the northern part of the state is considered a Mixed-Humid climate while the Southern part of the state is considered a Hot-Humid Climate.

Additionally, the southern-most area of the state is also part of a Coastal Climate.

See attachment for Heating and Cooling Degree Days

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

Types of Work to be Performed

The State of Alabama's Priority Measures Lists were approved by DOE January 2016. The Priority Measures List for both Single Family and Mobile Homes will be utilized in conjunction with the National Energy Audit Tool (NEAT) or the Mobile Home Energy Audit (MHEA) as applicable. All work to be done will be consistent with a DOE-approved energy audit using materials meeting the requirements of Appendix A.

Priority Lists are located in attachments.

Implementation of Weatherization Program Notice 15-4: Section 1

The Alabama WAP Field guides for Single Family Site Built and Mobile Homes were approved by DOE, December 2018 and will be incorporated into the 2019 Program Year.

The WAP network will be provided hard copies along with electronic versions. Signed receipts will be maintained to indicate receipt and agreement with standards outlined in filed guides.

Implementation of Weatherization Program Notice 15-4: Section 2

All subgrantee agreements and vendor contracts will contain language which clearly documents the specifications for field work. ADECA will include a certification document with the Subrecipient contract to document acknowledgment and receipt of these technical requirements.

Sample Contract language may include but is not limited to:

All weatherization work performed with DOE funds by the subgrantee or any of its contractors must meet the guidelines specifications outlined in the Standard Work Specifications (SWS) provided by the Department of Energy (DOE) and the National Renewable Energy Laboratory (NREL). The Alabama Weatherization Field Guide has been updated to include specifications and references to the Standard Work Specifications (SWS) and must be adhered to when performing weatherization work. Additional information regarding the Standard Work Specifications can be found at <https://sws.nrel.gov/>. All contracts and subcontracts entered into by the subgrantee and/or one of its contractors must include the language above.

Signed contracts will confirm receipt of and agreement to adhere to work quality expectations

Hard and digital (by CD and online) copies of the Field Guides were provided to subgrantees and contractors. Digital versions are always available to the network electronically.

Field guide types approval dates

Single-Family: 12/19/2018
Manufactured Housing: 12/19/2018
Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

Single Family Site-Built Home Priority List - Approved January 2016.

Approval Date: 1/21/2016

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

Single Family Mobile Home Priority List - Approved January 2016.

Approval Date: 1/21/2016

Audit Procedure: Multi-Family

Audit Name: Other (specify)

Multi family dwellings with 4 or fewer units may use the Single Family Audit Tool (NEAT) Multi family dwellings with 5 or more units must use

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

a DOE approved multifamily energy audit. The audit must be reviewed and approved by DOE prior to work commencing

Approval Date:

Comments

Alabama received approval for its Site Built Priority Measures List and Mobile Home Priority Measures List January 2016. The PML's will be used when applicable to determine the priority of measure performed on eligible homes. Homes that fall outside the parameters of the Priority Measures Lists will require an audit using either a National Energy Audit Tool (NEAT) or Mobile Home Energy Audit (MHEA) whichever is applicable.

V.5.3 Final Inspection

Final Inspections

Subgrantees are required to conduct and approve a final inspection of each dwelling weatherized before the job can be reported to ADECA-Energy as complete. Non-compliance to this program requirement is considered a serious offense and can jeopardize a subgrantee's funding. Both the Building Weatherization Report (BWR) and the Final Inspection form must be signed and dated by the individual(s) trained and authorized to complete the inspection. The Final Inspection form also requires the signature of the Head of Household which verifies all work was performed in a satisfactory manner. The Final Inspection forms are retained in the client's folder and inspected for compliance by ADECA-Energy's monitor(s) when a monitoring visit is conducted. At the beginning of each month, subgrantees send BWRs of all homes completed the previous month to ADECA-Energy for review by the monitors and/or the program manager to ensure program compliance.

ADECA-Energy staff also inspects each subgrantee's completed work during the monitoring visit on-site reviews. Weatherized homes are inspected to verify compliance with the Installation Standards. In the 2019 Program year the state will inspect at least 10% of completed units. ADECA-Energy staff selects which jobs will be monitored at random and/or during the course of a desk review which is conducted prior to each visit.

Implementation of Weatherization Program Notice 15-4: Section 3

Funds are regularly available for grantee and subgrantee staff to obtain Quality Control Inspector Certification through IREC accredited training centers. Subgrantees will have the option of obtaining the QCI certification and performing the quality control inspections at their agencies, or if subgrantee staff is unable to obtain certification the subgrantee will be required to subcontract a Quality Control Inspection by a Quality Control Inspector.

- All units reported to DOE as completed will be inspected to insure compliance with specifications outlined in the SWS.
- All quality control inspections, including final inspections and monitoring inspections, will be conducted and signed off by a certified QCI.

Due to the lack of available agency staff subgrantees may use the Independent Auditor/QCI which will allow the auditor/assessor to be the same individual. Because this model does not allow for an independent review the grantee will increase its monitoring efforts to include at least 10% of units completed by each subgrantee.

There are 14 Subgrantee agencies in the state of Alabama. Ideally each agency would have an individual on staff to provide QCI final inspections; with current agency staff it will not be possible to have a QCI at each agency. All Weatherization Coordinators will have the ability to attend QCI training, however, due to the prerequisites for testing not all Weatherization coordinators will be able to obtain certification. For subgrantee agencies that do not have staff certified, each will be required to contract QCI inspections either in partnership with other community action agencies or through other certified individuals. A Memorandum of Understanding (MOU) will be entered into by subgrantees wishing to partner with each other to perform Quality Control Inspections.

Two Quality Control Inspector Training's have taken place in Alabama through Southface Energy Institute. Currently 9 individuals hold QCI certifications in the State of Alabama, all of which currently work within the WAP Network. Other individuals within the WAP Network have completed the QCI Training.

Subgrantees are required to ensure that each completed unit will be inspected by a certified Quality Control Inspector. As part of the grantees regular monitoring final inspection forms and processes will be reviewed to ensure the inspections are being performed correctly and in a manner that meets expectations outlined in WPN 15-4. Failure to abide by the QCI process may result in questioned/unallowable cost. Multiple instances of poor QCI inspections will result in the subgrantee being placed on a Quality Improvement Plan at minimum and may result in the loss of the subgrantee's weatherization assistance program.

Final inspection forms have been updated to include language that attests that a final inspection has been performed by a Certified Quality Control Inspector and that all work has met the requirements set forth in the Standard Work Specification.

V.6 Weatherization Analysis of Effectiveness

ADECA-Energy continuously evaluates the effectiveness of subgrantee operations. Subgrantees are selected and retained pursuant to their experience and

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

performance with low-income persons and its capacity to perform weatherization measures. The past or current program achievement is considered. They must have the capacity to perform quality measures in a timely and effective manner.

Subgrantees must report their activities each month, information containing the number of homes completed, the number of applicants on the waiting list, number of homes in progress, expenditure reports and balances, etc. is reviewed and compiled for analysis and reporting purposes.

Files are maintained for each of the subgrantees which contain contracts and related information, along with production documentation and monitoring reports. Additionally files are maintained for each subgrantee which contains fiscal information, expenditure reports, backup documentation etc. The information maintained in these files can be used to show how each subgrantee is meeting their contractual responsibilities.

Whenever there are findings during a monitoring visit the subgrantee is required to successfully complete corrective actions as instructed by the grantee. Future monitoring visits look closely at past issues to insure the agency has understood the corrective action and continues to perform said issues correctly.

Prior to monitoring visits agencies will be sent a self assessment tool which inquires about fiscal status, inventories, property and equipment, internal controls, etc. These can be used by the agency to locate areas for improvement as well as a tool for monitor to review specific aspects of an agencies day to day activities. These assessments are provided to the monitor during the monitoring visit and discussed with the subgrantee during the visit.

Effectiveness by Subgrantee

In an attempt to quantify more information regarding each individual subgrantee's effectiveness, the grantee intends to review actual energy savings to compare agencies which have similar budgets and similar unit production requirements. Actual energy savings produced between similar subgrantees can be compared so that if one agency is proving to be more effective in its weatherization as compared to another similar agency further inquiry into why this is happening may yield opportunities for improved Training and Technical Assistance. The desire would then be to bring the lagging agencies up to par with the higher performing ones.

Another way to identify issues one agency may be having that another agency is not, is to track client complaints both by nature of the actual complaint and which agency and/or contractor performed the work on that clients home. If one agency receives numerous complaints about a particular issue while a neighboring agency does not, it would stand to reason there is a teachable moment which harbors the ability to correct this recurring error. Having one agency mentor another on a particular incident has the potential to reduce the number of complaints received by the respective agency thus making them more efficient and effective in their weatherization.

Onsite Inspections of Weatherized and In-Progress Units

The grantee will monitor at least 10% of completed units. In addition to completed units, monitor(s) will inspect units in progress to identify best practices and/or shortfalls early in the process and to allow for onsite training and technical assistance opportunities in lieu of potential disallowed costs.

Program & Fiscal Monitoring

An annual monitoring visit is conducted with each subgrantee to conduct programmatic and fiscal monitoring visits. These visits focus on fiscal, administrative and programmatic compliance with all applicable federal and state WAP rules and regulations. If issues are discovered during monitoring visits they must be reconciled in the agency's response to the monitoring report and are reviewed during subsequent monitoring visit to ensure problems have been corrected.

Utility Usage Data

ADECA will strive to improve the process for collection of accurate utility usage data on homes weatherized in Alabama. Better collection and use of the data will provide greater evidence of the cost savings provided by the WAP.

V.7 Health and Safety

See Attachments for Health and Safety Plan
Total average Health and Safety Costs will not exceed 21% of Total Program Operations

Definitions:

Case by Case: separate and distinct from others of the same kind, individual judgment

Case by Case issues must be submitted to the grantee for review and approval

Major: Notable or conspicuous in effect or scope

Minor: inferior in importance, size, or degree: comparatively unimportant

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

V.8 Program Management

V.8.1 Overview and Organization

Organization

Administration of the WAP at the local level is performed by subgrantees – local government and community action agencies. Information concerning these agencies follows on the next page.

The administration of the WAP is performed at the state level by the Alabama Department of Economic and Community Affairs, Energy Division (ADECA-Energy).

WAP Program consists of the Unit Chief, Program Manager, and Program Monitor. It is housed in the Energy Division of the Alabama Department of Economic and Community Affairs. The Energy Division is also home to the State Energy Program, the LIHEAP Program, and the CSBG Program.

Production information is submitted to the Program Manager for a cursory review then passed along to Program Monitor for additional review and data collection

Invoices are reviewed by Unit Chief and approved by Division Chief before being submitted to Financial Services for processing and payment.

V.8.2 Administrative Expenditure Limits

Administrative Expenditure Limits

Administrative funding will be no more than 10 percent of the PY allocation. The grantee ADECA-Energy receives 5% of the total for administrative purposes with the other 5% allocated to the subgrantees.

V.8.3 Monitoring Activities

In compliance with 10 CFR 440.12 (b) (6), the State of Alabama has established the following monitoring plan to ensure that all subgrantees adhere to contractual and Federal regulatory guidelines and instructions, have adequate programmatic and financial management control, and perform work on homes by acceptable standards.

All subgrantees will be monitored at least once each program year. Those agencies which have indicated weaknesses in any area necessary to ensure program and fiscal compliance may receive additional visits. A mid-year review of the subgrantee's home production will occur this program year. Unacceptable production can result in the deobligation of a subgrantee's Weatherization Funds and the reallocation of those funds to capable and productive subgrantees.

Previously, monitoring DOE units was somewhat unpredictable based on the fact that DOE and LIHEAP weatherization were conducted completely separately. Generally, LIHEAP weatherization production was the focus of the first half of the program year while DOE was the focus the last half; advanced scheduling was difficult due to the wait for completed units. The program now combines the DOE and LIHEAP weatherization which will even out production making scheduling easier.

There are 14 subgrantees to be monitored the grantee will schedule monitoring as follows:

Quarter 2 - Monitoring of at least 5 Subgrantees

Quarter 3 - Monitoring of at least 5 Subgrantees

Quarter 4 - Monitoring remaining 4 Subgrantees

At this time, the Energy Division has one program monitor who will complete the monitoring of case files and the quality review of completed work on homes. He has received training from a local agency and the State program manager as well as BPI building Analyst and Envelope Professional Certifications, and Quality Control Inspector Certification. The employee classified as a monitor will charge his time to T&TA while the Program Manager will charge his time to Admin and T&TA whichever is applicable. Additionally the Program Manager has a QCI certification as well and can assist if/when needed.

At least one ADECA employee will conduct fiscal and administrative procedures reviews of subgrantee agencies. During the program year, each subgrantee will be subjected to at least one (1) monitoring visit to ensure the providing of quality services. Alabama is using the independent Auditor/QCI option which requires at least 10 % of all completed homes to be monitored. A minimum of 10% of the house allocation per subgrantee will be visited by the monitor(s). Pervasive errors, omissions, or

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

dissatisfaction may be investigated with on-site reviews. Monitoring includes approximately 10 Client File reviews (if that many are available) these reviews look at the application, required eligibility documentation, Priority Point calculations, Identification, signatures, and forms. Contractor files are reviewed to ensure they possess all required documentation such as business licenses, training certification, insurances, and contracts between the subgrantee and the contractor. Bid documentation is reviewed to ensure that the bidding was done according to any laws and policies and that the lowest responsible bidder is awarded the work. We also review subgrantee agency documentation including insurance, mileage logs, time sheets, invoices, and payments to contractors.

After a monitoring visit has taken place a monitoring report is generated and sent to the subgrantee within 30 days. This report contains an overview of the monitoring and any findings along with corrective actions, if applicable. The subgrantee then has 30 days to respond to the Grantee monitoring report with a corrective action plan, if applicable, that demonstrates the process and procedures that the Subgrantee will implement, including timelines, to address the deficiency observed by the Grantee during the monitoring visit. The grantee will review the corrective action plan to determine if all corrective actions have been adequately addressed, if corrective actions have not been adequately addressed to the satisfaction of the grantee the subgrantee is issued an additional letter explaining what needs to be done further. The subgrantee then has 15 days to respond. If the subgrantee does not complete the required corrective actions to the satisfaction of the grantee funding may be withheld until all corrective actions have been satisfactorily completed.

The Independent Auditors and State Examiners review subgrantee program operations on an annual basis. These internal audits will be conducted in accordance with the General Accounting Office's "Standards for Audits of Governmental Organizations, Programs, Activities, and Function" and generally accepted auditing standards established by the American Institute of Certified Public Accountants.

Monitoring findings by the Energy Division and the reviews by Independent Auditors and/or State Examiners will be reported to the subgrantee in writing in a timely manner. Any deficiencies in program operations which are not corrected in accordance with the instructions may result in funds being withheld from the subgrantee or in termination of that agency's program.

Each subgrantee is required to submit monthly Production Progress Reports to ADECA-Energy within ten (10) calendar days of the first of each month if the agency has a Weatherization Contract. This report compiles data such as the demographics of the homes weatherized for the previous month. The report also tracks the subgrantees' homes in-progress. The reports are reviewed and recorded to ensure that plan versus performance goals are being met. Failure to submit the report within the allotted time frame could delay the subgrantee's funding.

In addition to these monitoring efforts, each subgrantee, except local governments who are audited by the State Examiner, is required to contract with a private audit firm to conduct an independent audit, as required by the Common Rule. Audits are reviewed by grantee staff as part of the risk assessment each year.

V.8.4 Training and Technical Assistance Approach and Activities

Training & Technical Assistance (T&TA) funds will be assigned evenly to subgrantees each subgrantee will receive \$12,000.00 budgeted for T&TA. While this allocation is oftentimes used to pay for subgrantees' attendance at state and federal weatherization conferences, it can be used when the state office is training a single agency, the subgrantee is outsourcing training needs, or for use in peer-to-peer training.

Attached is the T&TA Planning Document

The grantee plans to issue an RFP during the coming year to procure Comprehensive Training for the WAP Network. The RFP will select an accredited training center to help develop and implement a comprehensive training plan. The RFP is expected to be developed and released by the end of the second quarter and implemented in the third quarter. Until this training is in place subgrantees are encouraged to explore other training opportunities on their own. When opportunities arise the subgrantee submits a request to attend said training and then it is either approved or denied by the State.

Currently certifications and licenses are maintained at the subgrantee level for contractors used by the subgrantee to perform weatherization work on homes. In that same way the grantee will begin to maintain copies of certifications and a database of certified individuals in the weatherization network with a current emphasis on Quality Control Inspector certifications.

There are nine individuals in the state who have QCI certification in the WAP network. While not all subgrantee staff will be able to sit for the test the QCI training will be available for subgrantee weatherization staff.

Subgrantees will be allowed to provide T&TA funds for contractors within the WAP this will be beneficial for contractors performing weatherization work to remain up to date on current methods, rules and regulations. T&TA funds will be made available for contractors who currently work in the Alabama WAP network with the stipulation that they will have to cover their costs initially but can then be reimbursed once the training is completed. Reimbursement will be limited to registration fees and lodging based on the location of the conference; if extensive travel is required travel costs may also be reimbursed. Contractors will also be required to sign a retention agreement stating they will continue to provide weatherization services to the Alabama WAP network for a minimum of six months.

The grantee has 2 staff members with the required QCI certification so that in case of one being unable to perform the monitoring/ inspections there will be a

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

backup if needed.

The grantee has been in discussion with the Alabama Weatherization Association regarding a Statewide Weatherization Training. This will be Tier 2 training, a date has not been set for training to take place, it is projected to take place in 2nd or 3rd quarter of the program year. Topics of training will be decided based on feedback from subgrantees and as monitoring identifies needs. Notice will be provided to the Project Officer when Training has been scheduled. This statewide training will be mandatory for subgrantees.

The grantee plans to issue an RFP during the coming year to procure Comprehensive Training for the WAP Network. Since the network has QCIs in place and they are required to recertify on a set schedule (every three years) and that now include the Energy Auditor Certification, the focus of the comprehensive training for this year will be on Crew Leader. Once the Crew Leader Training has been completed focus will turn to Retrofit Installer.

Additionally, the grantee intended to procure training for NEAT/MHEA once the new versions are released and available.

The grantee also plans to continue unofficial monitoring visits with subgrantees. These visits will provide a cursory review of items that will be monitored in an effort to help monitoring visits be more successful, it will also provide an opportunity for one on one discussion to explore issues or ideas a subgrantee may have.

The grantee does not currently require certifications or training prior to hiring but training is required by 90 days after employment. This training could be peer to peer training with another agency, provided by an outside facility, or provided by the grantee. Each subgrantee understands that any completed unit must be inspected by a Certified QCI, this individual can be an agency employee or it could be contracted out by the subgrantee. If it is contracted out it is not a requirement that the subgrantee have the QCI certification.

The grantee will maintain copies of Quality Control Inspector certifications of certified individuals within the WAP Network along with a database to track expiration dates and Continuing Education Units (CEU) to ensure maintenance of certifications.

Upon monitoring a subgrantee's Weatherization Program, the state office may need to provide technical assistance to the subgrantee. This training is provided subsequent to the state's monitoring and is often provided at the conclusion of the monitoring visit. If, after monitoring a number of agencies, the state office finds that many agencies need further training in a certain area, then a portion of next required statewide weatherization meeting will be designated for training in that area.

Due to the number of subgrantees the state office monitors, and the length (usually 3 or 4 days) will be spent on monitoring. Again, it is important to note that during the monitoring visits some training may be provided if requested or needed.

In an attempt to quantify more information regarding each individual subgrantee's effectiveness, the grantee intends to review actual energy savings to compare agencies which have similar budgets and similar unit production requirements. Actual energy savings produced between similar subgrantees can be compared so that if one agency is proving to be more effective in its weatherization as compared to another similar agency further inquiry into why this is happening may yield opportunities for improved Training and Technical Assistance. The desire would then be to bring the lagging agencies up to par with the higher performing ones.

Another way to identify issues one agency may be having that another agency is not, is to track client complaints both by nature of the actual complaint and which agency and/or contractor performed the work on that client's home. If one agency receives numerous complaints about a particular issue while a neighboring agency does not, it would stand to reason there is a teachable moment which harbors the ability to correct this recurring error. Having one agency mentor another on a particular incident has the potential to reduce the number of complaints received by the respective agency thus making them more efficient and effective in their weatherization.

Implementation of Weatherization Program Notice 15-4: Section 4

Two Tier 1 trainings have been provided for QCI certification in the state of Alabama through Southface. Subgrantees that were unable to attend training provided in the state will have the option of traveling to receive training at IREC accredited Training centers. There is an IREC accredited training center in the state adjacent which logistically makes training easily accessible. To meet the needs of the state regarding Quality Control Inspection subgrantees are encouraged to seek and obtain QCI certification. Nine individuals within the Alabama WAP network have received QCI certification. With the use of subgrantee staff, contractors, and partnerships between subgrantees we should have enough available QCI inspectors to provide adequate services throughout the state.

The grantee is developing a plan to make Tier 1 trainings available on a yearly basis. While the trainings will be available each year trainees will be required to receive training every three years. The grantee will track to ensure training intervals are maintained.

If new staff members are employed by grantee or subgrantee Tier 1 training will be made available. As the new QCI Certification scheme becomes active, inspectors whose current QCI certifications expire will be required to obtain the Energy Auditor certification as a prerequisite for the QCI Certification.

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

(Grant Number: EE0007902, State: AL, Program Year: 2020)

Tier 2 Training will be provided on an as needed basis. This may be accomplished in different ways; grantee staff will provide onsite training when needed or requested, subgrades may request to travel to trainings out of state, the grantee will work with the AWAY to provide trainings for subgrades.

Client Education

During assessment the assessor goes over what measures will be performed on the home and answers any questions the client may have. Grantee and subgrade are available to answer questions if an issue arises. Clients are also provided with booklets and pamphlets to aid in their understanding of energy saving and potential dangers.

The following booklets/pamphlets are provided to the client:

Energy Savers-Tips on Saving Energy and Money
Carbon Monoxide-Guard Against a Silent Killer
The Lead-Safe Certified Guide to Renovate Right
A Brief Guide to Mold, Moisture, and Your Home

Percent of overall trainings

Comprehensive Trainings:	5.0
Specific Trainings:	95.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	5.0
Percent of budget allocated to Crew/Installer trainings:	0.0
Percent of budget allocated to Management/Financial trainings:	95.0

V.9 Energy Crisis and Disaster Plan

The State will not be implementing an Energy Crisis Plan.

Alabama Weatherization Health and Safety Plan

2020 Program Year

☒ POLICY SUBMITTED WITH PLAN

1.0 – GENERAL INFORMATION

Grantees are encouraged to enter additional information here that does not fit neatly in one of the other sections of this document.

This Health and Safety Policy is part of the 2020 Alabama Weatherization Assistance Program,
Effective April 1, 2020 through March 31, 2021

2.0 – BUDGETING

Grantees are encouraged to budget Health & Safety (H&S) costs as a separate category and, thereby, exclude such costs from the average cost per unit cost (ACPU) limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. Grantees are reminded that, if H&S costs are budgeted and reported under the program operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the approved energy audit.

Select which option is used below.

Separate Health and Safety Budget ☒

Contained in Program Operations ☐

3.0 – HEALTH AND SAFETY EXPENDITURE LIMITS

Pursuant to 10 CFR 440.16(h), Grantees must set H&S expenditure limits for their Program, providing justification by explaining the basis for setting these limits and providing related historical experience.

Low percentages should include a statement of what other funding is being used to support H&S costs, while larger percentages will require greater justification and relevant historical support. It is possible that these limits may vary depending upon conditions found in different geographical areas. These limits must be expressed as a percentage of the ACPU. For example, if the ACPU is \$5,000, then an average expenditure of \$750 per dwelling would equal 15 percent expenditures for H&S.

15 percent is not a limit on H&S expenditures but exceeding this amount will require ample justification. These funds are to be expended by the Program in direct weatherization activities. While required as a percentage of the ACPU, if budgeted separately, the H&S costs are not calculated into the per-house limitation. DOE strongly encourages using the table below in developing justification for the requested H&S budget amount. Each H&S measure the Grantee anticipates addressing with H&S funds should be listed along with an associated cost for each measure, and by using historical data the estimated frequency that each measure is installed over the total production for the year.

It is also recommend reviewing recent budget requests, versus expenditures to see if previous budget estimates have been accurate. The resulting "Total Average H&S Cost per Unit" multiplied by the Grantee's production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee's state plan.

Should a Grantee request to have more than 15 percent of Program Operations used for health and safety purposes, DOE will conduct a secondary level of review. DOE strongly encourages use of this H&S template and matrix to help expedite this process

Enter Measure ↓	Enter Cost ↓	Enter Frequency % ↓	Auto Calculates
CO Alarm	\$50.00	90.0%	\$45.00
Smoke Alarm	\$90.00	50.0%	\$45.00
ASHRAE 62.2-2016	\$700.00	60.0%	\$420.00
Install Direct-Vent Space Heater	\$2,600.00	10.0%	\$260.00
Repair Roof Leak	\$200.00	5.0%	\$10.00
Clean Gas Stove	\$60.00	5.0%	\$3.00
DWH Drip Line	\$70.00	10.0%	\$7.00
Remove UVSH	\$70.00	10.0%	\$7.00
Replace Dryer vent	\$80.00	25.0%	\$20.00
Correct Electrical Issue	\$350.00	20.0%	\$70.00
LSW	\$350.00	8.0%	\$28.00
Repair/Upgrade Venting	\$230.00	8.0%	\$18.40
Hazardous Material Disposal	\$340.00	1.0%	\$3.40
Furnace Replacment	\$3,500.00	3.0%	\$105.00
Furnace Repair/Tune	\$350.00	5.0%	\$17.50
Mold/Moisture	\$300.00	10.0%	\$30.00
Repair Gas Leak	\$60.00	2.0%	\$1.20
Fire Extenguisher	\$50.00	10.0%	\$5.00
Pest Removal	\$300.00	1.0%	\$3.00
Drainage Issues	\$150.00	1.0%	\$1.50
Total Average H&S Cost Per Unit			\$1,100.00
Enter Estimated Production (Annual File: IV.2 WAP Production Schedule) →			450
Enter Estimated Program Operations Budget →			2366383
H&S Budget (Total Average H&S Cost Per Unit * Estimated Production)			\$495,000.00
Requested H&S Percentage Per Unit (H&S Budget/Program Operations)			20.9%

4.0 – INCIDENTAL REPAIR MEASURES

If Grantees choose to identify any H&S measures as incidental repair measures (IRMs), they must be implemented as such under the Grantee's weatherization program in all cases – meaning, they can never be applied to the H&S budget category. In order to be considered IRMs, the measure must fit the following definition and be cost justified along with the associated efficiency measure;

Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program. (10 CFR 440 "Definitions")

Incidental repairs are repairs that are necessary for the effective performance or preservation of weatherization materials.

Incidental repair costs are to be included in the Savings to Investment Ratio (SIR) calculations for associated Energy Conservation Measures (ECM), or included in the cost of the associated Health and Safety measure.

Incidental repairs must be coupled with a weatherization measure – either an energy-saving measure or a health and safety measure. Therefore, such costs should be billed together with the measure for which the incidental

repair is needed.

For example, when correcting knob-and-tube wiring in an attic, itself an incidental repair, the costs involved to correct the knob-and-tube wiring should be billed together with attic insulation, an energy efficient measure. Consequently, the cost of this incidental repair is to be billed to Program Operations – not Health and Safety. Conversely, when incidental repair costs are incurred in the installation of a health and safety measure; e.g., moving a gas line to install a direct vent space heater, then the cost of moving the gas line should be billed together with the installation of the direct vent space heater. Thus, the cost of moving the gas line is to be billed to Health and Safety – not Program Operations.

Roof Repair is a measure that depending on circumstances could be considered an incidental to attic insulation by protecting the attic insulation or a Health and Safety measure because it reduced the chance of mold/moisture issued in the home.

To properly classify this measure across the network the two options will be defined as follows:

In units that receive attic insulation as a weatherization measure any roof repair will be considered a measure incidental to the insulation.

In units that do not receive attic insulation roof repair will be considered a health and safety measure which reduces the chance of mold/moisture.

An incidental repair that has no direct link to a specific weatherization measure is not an allowable expenditure. Priming or painting, for instance, is not allowable if its use does not directly seal and/or protect the weatherization materials.

Costs involved with incidental repairs may not be trivial. Cases in which the cost of an incidental repair exceeds the actual cost of the weatherization measure it is coupled with may make the weatherization measure unallowable by having a SIR of less than 1.0.

Finally, when the costs of essential weatherization measures such as infiltration and insulation are compromised by the costs of their related incidental repairs, then deferring weatherization may be in order.

Alabama's Priority Measures lists' cap incidental costs to \$500.00 for ECMs, if incidental costs are greater than \$500.00 the unit must be evaluated with an energy audit and the cost of the incidental repair must be included in the cost of the measure in which it is associated.

5.0 – DEFERRAL/REFERRAL POLICY

Deferral of services may be necessary if H&S issues cannot be adequately addressed according to WPN 17-06 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. If, in the judgment of the auditor, any conditions exist which may endanger the health and/or safety of the workers or occupants, the unit should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Grantees must be specific in their approach and provide the process for clients to be notified in writing of the deferral and what conditions must be met for weatherization to continue. Grantees must also provide a process for the client to appeal the deferral decision to a higher level in the organization.

Grantee has developed a comprehensive written deferral/referral policy that covers both H&S, and other deferral reasons?

Yes ☒ No ☐

Weatherization Deferral Policy

Deferral may be necessary if issues cannot be adequately addressed. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not necessarily mean that assistance will never be provided, but that weatherization work must be postponed until the problematic conditions causing deferral can be resolved with alternative sources of help and/or funding. In the judgment of the assessor, any conditions that exist, which may endanger the health and/or safety of the occupants or workers, should necessitate that weatherization be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Such insolent behavior on the part of the occupants will not be tolerated and may

consequently result in weatherization assistance never being provided.

A dwelling unit should not be weatherized where there is a major code violation or where there is a potentially harmful situation that may adversely affect the occupants, subgrantee staff, or weatherization contract workers. Only after the unit owner corrects the problems, shall weatherization work begin. It is not necessarily the responsibility of the subgrantee to correct such problems. The subgrantee's Weatherization Coordinator, assessor, or contract assessor must declare his/her intent to defer weatherization on an eligible unit on the *Home Energy Assessment Checklist* and/or the *Health and Safety Inspection Checklist*. Either checklist should include the client's name and address, dates of the audit/assessment and when the client was informed in writing, and a clear description of the problematic condition(s).

The United States Department of Energy (USDOE), however, requires that additional documentation be maintained in the client file whenever deferral is deemed necessary. The *Weatherization Deferral Form* serves to clearly inform the client of the reason(s) to defer weatherization assistance on his/her home and what actions the client or his/her landlord must undertake to rescind the deferral to permit weatherization assistance to ensue. It is expected in nearly all cases of deferral that the client signs the *Weatherization Deferral Form* to acknowledge that s/he understands the reasoning for the deferral and what actions must be undertaken to rescind the deferral.

Few circumstances may arise where deferral is a result of insolent behavior or illegal activity. Requiring a client to acknowledge such conditions or activity exist in his/her home by signing the *Weatherization Deferral Form* may very likely place the party initiating the deferral in a precarious situation. Under absolutely no circumstances does the State of Alabama expect weatherization personnel to place themselves in such risky situations. In cases where weatherization personnel's safety is compromised, completing the *Weatherization Deferral Form* should be postponed until the weatherization assessor has time to discuss the case with the weatherization coordinator away from the potentially dangerous environment of the client's home. In accordance with USDOE's expectations, though, the client must still be notified for the reason(s) for the deferral. Therefore, the weatherization subgrantee, in these rare but dangerous circumstances, must mail the *Weatherization Deferral Form* to the client certified mail with return receipt via the United State Postal Service. A copy of the *Weatherization Deferral Form* and the return receipt must be maintained in the client file to verify due diligence on the part of the weatherization subgrantee was taken to notify the client of the reason(s) for deferral.

Should a client request a second opinion on a deferral, the subgrantee is encouraged to contact its local county health, building, electrical, or other county inspector to request an inspection of the site. Should the client refuse to have a county inspector inspect the dwelling, the weatherization coordinator will note the refusal in the client file, and no weatherization work shall be performed on the dwelling. If the inspector deems that work pending deferral can or should be performed, the weatherization coordinator, assessor, and weatherization contractor are encouraged to work with the inspector's suggestions to make the improvements. However, the inspector does not make the final determination on the amount, cost of work, or measures applied to the unit. Consequently, the weatherization coordinator may deem the suggested measures to be financially or programmatically out of the scope of Weatherization Assistance Program and may still defer the weatherization work.

A weatherization contractor, too, may encounter a unit to be unfit for weatherization by the time of his/her arrival to perform weatherization work. If this so happens to be the case, the weatherization contractor should not begin work, but instead contact the weatherization coordinator to explain the problematic condition(s). The weatherization coordinator should then follow the same procedures in documenting the deferral as required when a problematic condition necessitating a deferral is discovered during the assessment. The State of Alabama does not require, expect, or encourage weatherization contractors to work in unsafe or unhealthy conditions.

Deferral conditions may include, but are not limited to:

1. The client, or other household member, has known health conditions that prohibit the installation of insulation materials or other weatherization materials.
2. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost effectively or within the scope of the Weatherization Assistance Program guidance.
3. The house has raw sewage, excessive animal feces, or other sanitation problems that would further endanger the client and weatherization contractors if the weatherization work were performed.
4. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local, county, or state building officials or utilities due to safety or code issues.
5. Moisture problems that are so severe they cannot be resolved under existing health and safety measures or as minor incidental repairs.
6. Dangerous conditions exist due to high carbon monoxide levels associated with combustion appliances which cannot be resolved under existing health and safety measures and guidance.
7. The client is uncooperative, abusive, hostile, or threatening to the assessors, weatherization contractors, inspectors, or others who must work on or visit the home.
8. The extent and condition of lead-based paint in the house would potentially create increased health and safety hazards for both the occupants and crew members.
9. In the judgment of the assessor, if any condition exists which may endanger the health and/or safety of the work crew or subcontractor, then the work should not proceed until the identified condition(s) is satisfactorily corrected.
10. If a mold condition is discovered during the assessment of the home by an assessor and cannot be adequately addressed by the weatherization contractor, the unit will be referred to the appropriate public or non-profit agency for remedial action. Alabama weatherization subgrantees shall defer work on the home until the owner completes mold remediation or another funding source funds and completes the mold remediation. Alabama weatherization subgrantees shall distribute the pamphlet from the U.S. Environmental Protection Agency (EPA), Indoor Environment Division, (IED): "A Brief guide to Mold, Moisture, and Your Home" to all clients whether or not mold is found. The pamphlet can be found at <http://www.epa.gov/mold/pdfs/moldguide.pdf>
11. Client cannot be reached at telephone number on file due to the service being disconnected or due to client unavailability.
12. Client refuses to allow assessors access to all areas of the home necessary to conduct the comprehensive weatherization assessment.
13. Presence of animals which pose a risk to assessors, weatherization contractors, and/or inspectors. The work may be deferred until such animal threats have been secured adequately so that they no longer pose a threat.
14. Unable to gain access to the area to perform work. The work may be deferred until the blocked access is cleared to allow the necessary access to perform the work.
15. The unit is of such filth and squalor or where the presence of excessive hoarding hampers the ability of the assessor or contractor to carry out their weatherization duties.
16. The presence of illicit activity on the premises including but not limited to: illegal drug use; distribution, possession, and/or sale of illegal drugs; prostitution; domestic violence; child abuse; and cruelty to animals. In cases where unlawful activity is witnessed, local authorities are to be notified promptly by the weatherization coordinator. Written documentation explaining the unlawful activity should be maintained in the client file and if possible, without jeopardizing one's safety, the weatherization personnel may try to obtain photographic documentation of the illicit activity to provide to authorities.

6.0 – HAZARD IDENTIFICATION AND NOTIFICATION FORM(S)

Documentation forms must be developed that include at a minimum: the client's name and address, dates of the audit/assessment and when the client was informed of a potential H&S issue, a clear description of the problem, a statement indicating if, or when weatherization could continue, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options.

Documentation Form(s) have been developed and comply with guidance?

Yes ☒

No ☐

7.0 – HEALTH AND SAFETY CATEGORIES

For each of the following H&S categories identified by DOE:

- *Explain whether you concur with existing guidance from WPN 17-06 and how that guidance will be implemented in your Program, if you are proposing an alternative action/allowability, or if the identified category will not be addressed and will always result in deferral. Alternatives must be comprehensively explained and meet the intent of DOE guidance.*
- *Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 17-06, Grantees must concur, or choose to defer all units where the specific category is encountered.*
- *"Allowable" items under WPN 17-06 leave room for Grantees to determine if the category, or testing, will be addressed and in what circumstances.*
- *Declare whether DOE funds or alternate funding source(s) will be used to address the particular category.*
- *Describe the explicit methods to remedy the specific category.*
- *Describe what testing protocols (if any) will be used.*
- *Define minimum thresholds that determine minor and major repairs.*
- *Identify minimum documentation requirements for at-risk occupants.*
- *Discuss what explicit steps will be taken to educate the client, if any, on the specific category if this is not explained elsewhere in the Plan. Some categories, like mold and moisture, require client education.*
- *Discuss how training and certification requirements will be provided for the specific category. Some categories, like Lead Based Paint, require training.*
- *Describe how occupant health and safety concerns and conditions will be solicited and documented.*

Grantees may include additional H&S categories for their particular Programs. Additional categories must include, at a minimum, all of the same data fields as the DOE-provided categories. Two additional tables have been created to utilize.

7.1 – Air Conditioning and Heating Systems				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Air Conditioning Unallowable Measure <input type="checkbox"/> Heating Unallowable Measure <input type="checkbox"/>				
<p>The replacement of Air Conditioning and/or Heating Systems must always be evaluated as an Energy Conservation Measure (ECM) first. If evaluation indicates the measure to have Savings to Investment Ratio (SIR) ≥ 1.0 it must be completed as an ECM and charged to Program Operations. When a space conditioning system does not qualify as an ECM, the following conditions must be met before the unit can be replaced or repaired with Health and Safety funds:</p> <ul style="list-style-type: none"> Alabama does permit the installation and repair of heating systems and cooling systems (if "at-risk") as a health and safety measure if it is not cost-prohibitive. Weatherization subgrantees are afforded the discretion to determine whether the measure is cost-prohibitive based on the health and safety funds available in their budgets. When the measure is cost-prohibitive, the weatherization work should be deferred until alternative resources can be obtained to correct the heating and/or cooling system. The client should always be made aware of any dangers caused by the heating system. "Red tagged," inoperable, or nonexistent primary heating system may be replaced, repaired, or installed where climate conditions warrant, consistent with this guidance. Primary air conditioning system replacement, repair, or installation is allowed only in homes where current occupants are considered "at-risk" AND climate conditions warrant. "System" can mean a central unit or several individually operating units; however, when a central unit is in place, it shall be considered the primary unit, and all other units are to be considered secondary. Use proper sizing protocols (Manual J, State Approved sizing protocols, NEAT/MHEA outputs, etc.) based on post-weatherization housing characteristics, including installed mechanical ventilation, when installing or replacing a heating or cooling appliance. Alabama requires all HVAC system installation to follow local and state code and it must be performed by a licensed HVAC professional. Weatherization subgrantees must require weatherization contractors who are not licensed HVAC companies/individuals subcontract licensed HVAC companies/individuals to perform heating system installations and repairs. <p>Heating Degree Days (HDD) range from 2,913 HDD in North Alabama to 1,339 HDD in South Alabama. Cooling Degree Days (CDD) range from 2,129 CDD in North Alabama to 3,061 CDD in South Alabama.</p>				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
How do you address unsafe or non-functioning primary heating/cooling systems?				
<p>Unsafe or non-functioning primary heating units must be repaired, replaced and removed, or rendered inoperable, or deferral is required.</p> <p>Non-functioning cooling units may be repaired, or replaced in homes with "at-risk" occupants</p>				
How do you address unsafe or non-functioning secondary heating systems, Including unvented secondary space heaters?				
<p>Replacement or installation of secondary units is not allowed.</p> <p>Unsafe secondary units, including space heaters, must be repaired, removed, or rendered inoperable, or deferral is required.</p> <p>See Hazardous Materials Disposal section for more information</p>				
Indicate Documentation Required for At-Risk Occupants				

An individual who is "At-Risk" as it pertains to this category is any member of the household whose health or well-being would likely be endangered as a result of extreme temperatures.

To document an individual's status as "At-Risk" and therefore eligible to receive this service he/she must supply the Agency with an *At-Risk Physician/Nurse Medical Statement*.

The *At-Risk Physician/Nurse Medical Statement* is a form completed by the client's Physician/Nurse verifying that this individual does have a medical condition which can be affected as a result of extreme temperatures.

Testing Protocols

Make sure primary systems are present, operable, and performing correctly.

When replacing a system an audit must be used to determine if the system can be installed as an energy conservation measure (ECM) prior to replacement as an H&S measure.

If the measure is cost effective by returning an SIR of 1 or greater then it must be replaced and billed as an ECM, if it is not cost effective it should be replaced and billed as a Health and Safety Measure.

Determine and document presence of "at-risk" current occupants when installing air-conditioning as a Health and Safety (H&S) measure.

On combustion equipment, inspect chimney and flue and test for Combustion Appliance Zone (CAZ) depressurization.

For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe

Minimal standards for remedy include, but are not limited to the following:

Ducts:

Ducts testing <1pascal (pa) are considered to be in good condition or within the pressure boundary. Visual inspection of the ducts in site-built houses is required because supplies within the pressure boundary may be leaking into undesirable locations. Return systems should always be sealed as well as possible. Supply leaks nearest the air handler should be addressed in preference to more distant equivalent leaks.

Clean ducts prior to sealing to ensure that sealing materials adhere and remain effective.

When sealing ducts with mastic, use fiberglass wrap for the first 3 feet next to the plenum to reinforce the mastic seal.

Replace crushed registers.

The return ducts must always be sealed. Return ducts should never be open to a combustion zone. (A worst-case depressurization test should be performed.)

When working on manufactured mobile homes, ensure that ducts are attached and sealed properly to ensure heat is going into the home and not onto the ground beneath the home.

Controls:

Check anticipator settings on gas furnace thermostats and adjust to actual amperage draw.

Replace thermostats that do not have an anticipator. This does not apply to millivolt systems.

Install a setback thermostat whenever the client is capable of understanding the technology and is willing to learn how to use it correctly. Install the setback thermostat early in the weatherization process and review its use with the client. Consider making a specific appointment to install the thermostat and instruct the client on its proper use. Follow local and state codes and regulations when installing thermostats.

Share, with the client, evaluation data that shows the savings potential of using setback behavior even if client does not choose to have a setback thermostat installed.

Furnaces (heating systems):

Check for Gas Leaks

Check the heat exchange for cracks. This should be part of the energy audit process.

Draft Testing, Pre and Post Weatherization

Check Ambient and System CO

Verify combustion air source

Check venting system to insure it is functioning properly

Clean the fan, motor, and exterior of the furnace. Oil the motor.

Clean or replace filters. Talk with the client about continuing and ongoing maintenance, taking into account the client's understanding, willingness, and convenience.

High flow filters are recommended when replacing filters.

The supply temperature and heat rise should not exceed the appliance rating.

Limit switches must work properly.

The goal of all testing shall be to make sure heating systems are present, operable, and performing safely.

Additionally, we want to determine the presence of occupants who may have been exposed to a hazard or danger relating to the system.

Air Conditioners (cooling systems):

Check wiring for burned or frayed wires at unit and disconnect.

Ensure unit has independent outdoor disconnect within sight or 12ft of unit

Check that filter is present and clean.

Ensure safety switches on heat pump wired properly and in working order.

Client Education

When deferral is necessary, provide information to the client, in writing, describing conditions that must be met in order for weatherization to commence. A copy of this notification must also be placed in the client file.

Discuss appropriate use and maintenance of units.

Provide all paperwork and manuals for any installed equipment.

Discuss and provide information on proper disposal of bulk fuel tanks when not removed as part of the weatherization work.

Where combustion equipment is present, provide safety information including how to recognize depressurization.

Training

WAP H&S policy training on allowable activities.

Licensing and/or certification for HVAC installers as required by authority having jurisdiction (AHJ).

CAZ depressurization test and inspection training.

7.2 - Asbestos - All**What is the blower door testing policy when suspected Asbestos Containing Material (ACM) is identified?**

Blower Door Testing when possible Asbestos Containing Materials (ACM) is a major concern which can affect the Health and Safety of the workers and clients. To reduce the likely hood of exposure the general guidelines listed below must be followed.

Pressurized Blower Door testing will be conducted when solid ACM are present in the attic, walls, or on duct work.

If suspected ACM's are air born no blower door testing will be conducted.

If Suspected ACM's are in siding on the outside of the home depressurized blower door testing may be conducted as usual.

7.2a – Asbestos - in siding, walls, ceilings, etc.		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's in siding, walls, or ceilings that will be disturbed through the course of weatherization work?		
<p>General asbestos removal is not approved as a health and safety weatherization cost.</p> <p>The existence of asbestos siding that is in good condition does not prevent installing dense-pack insulation from the exterior.</p> <p>Siding may be removed and reinstalled in order to perform the ECM, and the associated costs may be charged as part of the ECM.</p> <p>All precautions must be taken not to damage the siding. Asbestos siding should never be cut or drilled.</p> <p>Recommended, where possible, to insulate through home interior walls.</p> <p>General abatement of asbestos siding or replacement with new siding is not an allowable H&S cost.</p> <p>Major asbestos problems should be referred to the appropriate state agency and/or EPA.</p>		
Testing Protocols		
<p>Visually inspect exterior wall surface and subsurface, floors, walls, and ceilings for suspected ACM prior to drilling or cutting.</p> <p>Asbestos Hazard Emergency Response Act of 1986 (AHERA) sample collection and testing must be conducted by a certified tester.</p> <p>It is difficult to tell whether a material contains asbestos simply by looking at it, unless it is labeled. If in doubt, treat the material as if it contains asbestos.</p> <p>Inspect exterior wall surfaces and sub-surfaces for asbestos siding prior to drilling or cutting. Typically, asbestos appears as a whitish, fibrous material which may release fibers that range in texture from coarse to silky.</p> <p>Do not permanently or temporarily replace or remove asbestos siding.</p> <p>Keep activities to a minimum in any areas having damaged material that may contain asbestos. Document and inform the client regarding the damaged material and suspected asbestos. Do not further disturb the material. If necessary, weatherization work to that area may have to be deferred.</p> <p>Do not dust, sweep, or vacuum debris that may contain asbestos.</p> <p>Never saw, sand, scrape, or drill holes in asbestos materials. Asbestos siding should never be cut or drilled.</p> <p>Do not track material that could contain asbestos through the house.</p> <p>Follow EPA and OSHA regulations regarding the safe handling of asbestos to ensure worker and client safety.</p>		
Client Education		
<p>Inform the client in writing that suspected ACMs are present and what precautions will be taken to ensure the occupants' and workers' safety during weatherization.</p> <p>Formally notify client in writing of results if testing was performed.</p>		
Training and Certification Requirements		
<p>Safe practices for siding removal and replacement.</p> <p>How to identify suspected ACM.</p> <p>Licensing/certification for removal and reinstallation of asbestos siding if required by AHJ.</p>		

7.2b – Asbestos - in vermiculite		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's in vermiculite that will be disturbed through the course of weatherization work?		
<p>When vermiculite is present, assume it contains asbestos unless testing determines otherwise.</p> <p>Do not perform a blower door test if it will disturb the vermiculite.</p> <p>If testing determines asbestos is not present blower door testing may be conducted as usual.</p> <p>Use proper respiratory protection while in areas containing vermiculite.</p> <p>Encapsulation by an appropriately trained asbestos control professional is allowed.</p> <p>Removal is not allowed.</p> <p>When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.</p>		
Testing Protocols		
<p>AHERA sample collection and testing must be conducted by a certified tester.</p> <p>Baseline environmental asbestos sampling is an allowable cost.</p> <p>Do not open any walls to check for vermiculite. Only check for vermiculite in the attic, and if found, leave it undisturbed, when possible.</p> <p>If it is necessary to go into the attic containing vermiculite insulation, limit the number of trips and the shorten the length of those trips in order to limit any potential exposure and to avoid disturbing the product as any disturbance could potentially release asbestos fibers into the air.</p> <p>Wear protective equipment when entering an attic area that may contain vermiculite insulation.</p> <p>Do not track vermiculite insulation or associated dust into the living spaces of the home.</p> <p>Follow EPA and OSHA regulations regarding the safe handling of asbestos to ensure worker and client safety.</p>		
Client Education		
<p>Instruct clients in writing not to disturb suspected ACM.</p> <p>Provide asbestos safety information to the client.</p> <p>Formally notify client in writing of results if testing was performed.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training and Certification Requirements		
<p>Assessors should be able to recognize vermiculite.</p> <p>AHERA or state certification to conduct testing.</p> <p>AHERA or other appropriate asbestos control professional certification/training for encapsulation.</p>		

7.2c – Asbestos - on pipes, furnaces, other small covered surfaces		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's (e.g., pipes, furnaces, other small surfaces) that will be disturbed through the course of weatherization work?		
<p>Assume asbestos is present in suspect covering materials.</p> <p>When suspected friable ACM is present, take precautionary measures as if it is asbestos unless testing determines otherwise.</p> <p>Encapsulation by an appropriately trained asbestos control professional is allowed and should be conducted prior to blower door testing if the materials are friable.</p> <p>Grantee may allow removal by an appropriately trained professional on a case-by-case basis.</p> <p>The grantee will make a determination based on the cost associated with removal, if the cost is deemed unreasonable the home may have to be deferred until the issue can be addressed.</p> <p>Charge only those costs directly associated with the testing, encapsulation, or removal to the H&S budget category.</p> <p>When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.</p>		
Testing Protocols		
Assess whether suspected ACMs are present.		
AHERA sample collection and testing is allowed and must be conducted by a certified tester.		
Client Education		
<p>Instruct clients in writing not to disturb suspected ACM.</p> <p>Provide asbestos safety information to the client.</p> <p>Formally notify client in writing of results if testing was performed.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training and Certification Requirements		
<p>Auditors should be able to recognize suspected ACM.</p> <p>AHERA or other appropriate asbestos control professional certification/training is required to abate the ACM.</p>		

7.5 – Biologicals and Unsanitary Conditions (odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Unallowable Measure <input type="checkbox"/>				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with biological and/or unsanitary conditions in homes slated for weatherization?				
<p>Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed.</p> <p>Addressing bacteria and viruses is not an allowable cost.</p> <p>Deferral may be necessary in cases where conditions in the home pose a health risk to occupants and/or weatherization workers.</p> <p>See Mold and Moisture section for more information.</p>				
Testing Protocols				
Sensory inspection				
Client Education				
<p>Inform client in writing of observed conditions.</p> <p>Provide information on how to maintain a sanitary home.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
<p>How to recognize unsafe conditions and when to defer.</p> <p>Safe work practices when encountering such conditions.</p>				

7.6 – Building Structure and Roofing		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Weatherization is not a Rehabilitation Program, if the unit to be weatherized has structural issues beyond the scope of weatherization it must be deferred until the issue is addressed by either other funding or the homeowner.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for dealing with structural issues (e.g., roofing, wall, foundation) in homes slated for weatherization?		
<p>Site conditions that poses a safety hazard to agency staff or subcontractors which cannot be corrected within the scope of the program may result in a deferral.</p> <p>Building structure & roofing should be evaluated visually so that no existing conditions are disturbed. Structural problems with dwellings often lead to deferral because the scope is beyond the means of the program to treat. Beyond simple incidental repairs, such as roof patching, there is no feasible means to address severe structural defects.</p> <p>Roof repairs are allowable as a H&S measure if:</p> <p>It resolves and bulk water intrusion issue that is the cause of visible biological growth and;</p> <p>The H&S roof repair is well documented with written explanation and photos of the biological growth in the client file.</p>		
How do you define "minor" or allowable structure and roofing repairs, and at what point are repairs considered beyond the scope of weatherization?		
<p>When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR.</p> <p>If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed and the unit may need to be deferred.</p>		
If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?		
According to the Priority Measures List, Incidental Repairs greater than \$500.00 require a site-specific audit		
Client Education		
<p>Notify client in writing of structurally compromised areas.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training		
Assessors are able to identify structural and roofing issues.		

7.7 – Code Compliance		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for dealing with code compliance issues in homes receiving weatherization measures?		
<p>Correction of preexisting code compliance issues is not an allowable cost unless triggered by weatherization measures being installed in a specific room or area of the home.</p> <p>When correction of preexisting code compliance issues is triggered and paid for with WAP funds, cite specific code requirements with reference to the weatherization measure(s) that triggered the code compliance issue in the client file.</p> <p>Follow State and local or AHJ codes while installing weatherization measures, including H&S measures. Condemned properties and properties where “red tagged” H&S conditions exist that cannot be corrected under this guidance must be deferred.</p>		
What specific situations commonly trigger code compliance work requirements for your network? How are they addressed?		
<p>Some AHJ require all code issues be addressed regardless of whether or not the issue is related to weatherization; for example, one AHJ requires all smoke detectors be hard wired, and while we have a variance which does not require that for our program this AHJ still requires this be done. Also, when repairing combustion appliance venting this AHJ requires that the entire vent be replaced not just one section or area repaired. While sometimes there are additional funds that can address these issues that is not always the case. When additional funds are not available homes may be deferred until other funds are available.</p>		
Client Education		
<p>Inform client in writing of observed code compliance issues when it results in a deferral.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training		
<p>Assessors should determine what code compliance may be required.</p> <p>Sub-grantees must be aware of code compliance.</p> <p>Sub-grantees must ensure that weatherization-related work complies with all applicable codes.</p>		
7.8 – Combustion Gases		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
<p>Proper venting to the outside for combustion appliances, including gas dryers and refrigerators, furnaces, vented space heaters and water heaters is required.</p> <p>Correct venting when testing indicates a problem.</p> <p>If unsafe conditions whose remediation is necessary to perform weatherization cannot be remedied by repair or tuning, replacement is an allowable H&S measure unless prevented by other guidance herein.</p> <p>Maintain documentation justifying the replacement with a cost comparison between replacement and repair in the client file.</p> <p>Replacement units must meet safety guidelines as determined in the Grantee Plan or technical Field Guide. See Air-Conditioning and Heating Systems section and Attachment A for more information.</p>		

Funding																																
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>																												
DOE funds may be used to address this category																																
Testing Protocols																																
<p>Combustion safety testing is required when combustion appliances are present.</p> <p>Test naturally drafting appliances for spillage and CO during CAZ depressurization testing pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., tightening the home, adding exhaust).</p> <p>Inspect venting of combustion appliances and confirm adequate clearances.</p> <p>Check DOE-approved audit to determine if the appliance can be justified as an ECM prior to replacement as an H&S measure.</p>																																
How are crews instructed to handle problems discovered during testing, and what are the specific protocols for addressing hazards that require an immediate response?																																
<p align="center">Combustion Safety Test Action Levels</p> <table border="1"> <thead> <tr> <th>CO Test Result*</th> <th>And/OR</th> <th>Spillage and Draft Test Results</th> <th>Retrofit Action</th> </tr> </thead> <tbody> <tr> <td>0-25 ppm</td> <td>And</td> <td>Passes</td> <td>Proceed with work</td> </tr> <tr> <td>26-100 ppm</td> <td>And</td> <td>Passes</td> <td>Recommend that the CO problem be fixed</td> </tr> <tr> <td>26-100 ppm</td> <td>And</td> <td>Fails a worst case only</td> <td>Recommend a service call for the appliance and/or repairs to the home to correct the problem</td> </tr> <tr> <td>100-400 ppm</td> <td>Or</td> <td>Fails under natural conditions</td> <td>STOP WORK: Work may not proceed until the system is serviced and the problem is corrected</td> </tr> <tr> <td>>400 ppm</td> <td>And</td> <td>Passes</td> <td>STOP WORK: Work may not proceed until the system is serviced and the problem is corrected</td> </tr> <tr> <td>>400 ppm</td> <td>And</td> <td>Fails under any condition</td> <td>EMERGENCY: Shut off fuel to the appliance and call for service immediately</td> </tr> </tbody> </table>					CO Test Result*	And/OR	Spillage and Draft Test Results	Retrofit Action	0-25 ppm	And	Passes	Proceed with work	26-100 ppm	And	Passes	Recommend that the CO problem be fixed	26-100 ppm	And	Fails a worst case only	Recommend a service call for the appliance and/or repairs to the home to correct the problem	100-400 ppm	Or	Fails under natural conditions	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected	>400 ppm	And	Passes	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected	>400 ppm	And	Fails under any condition	EMERGENCY: Shut off fuel to the appliance and call for service immediately
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26-100 ppm	And	Passes	Recommend that the CO problem be fixed																													
26-100 ppm	And	Fails a worst case only	Recommend a service call for the appliance and/or repairs to the home to correct the problem																													
100-400 ppm	Or	Fails under natural conditions	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected																													
>400 ppm	And	Passes	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected																													
>400 ppm	And	Fails under any condition	EMERGENCY: Shut off fuel to the appliance and call for service immediately																													
Client Education																																
Provide client with combustion safety and hazards information.																																
Training																																
<p>How to perform appropriate testing, determine when a building is excessively depressurized, and the difference between air free and as-measured CO.</p> <p>CO action levels.</p>																																

7.9 – Electrical		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for dealing with electrical hazards, including knob & tube wiring, in homes slated for weatherization?		
<p>Wires are inspected to ensure they are in good condition and not bare or frayed.</p> <p>Service boxes and junction boxes are inspected to ensure they have secure covers.</p> <p>Live knob and tube in the attic will not be covered or surrounded.</p> <p>A dam that does not cover the top will be created to separate insulation from the wire path.</p> <p>If the wiring is above the joists, an un-faced fiberglass batt must be installed below the wiring.</p> <p>The balance of the attic may be blown to required insulation depth without covering any knob & tube. If the knob and tube wiring goes through the joists, do not insulate below the wiring, just create the dam. The additional cost of damming K&T wiring will be considered an incidental repair and billed along with the ECM (i.e. insulation).</p> <p>If the additional cost causes the ECM (i.e. insulation) to no longer be cost effective the home should be deferred until additional funding can be secured to address the K&T wiring issue.</p> <p>Sidewalls with active knob and tube wiring will not be insulated.</p>		
How do you define “minor” or allowable electrical repairs, and at what point are repairs considered beyond the scope of weatherization?		
<p>When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR.</p> <p>If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed and the unit may need to be deferred.</p>		
If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?		
According to the Priority Measures List, Incidental Repairs greater than \$500.00 require a site-specific audit		
Client Education		
When electrical issues are the cause of a deferral, provide information to client on over-current protection, overloading circuits, and basic electrical safety/risks.		
Training		
Auditors must be able to identify electrical hazards.		
Auditors should be aware of local (or AHJ) code compliance.		

7.10 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants

Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with formaldehyde, VOCs, flammable liquids, and other air pollutants identified in homes slated for weatherization?				
Removal of pollutants is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred. Refer to <i>Hazardous Materials Disposal</i> section for more information.				
Testing Protocols				
Sensory inspection.				
Client Education				
Inform client in writing of observed hazardous condition and associated risks. Provide client written materials on safety issues and proper disposal of household pollutants. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.				
Training				
Auditors should be able to recognize potential hazards and when removal is necessary.				

7.11 – Fuel Leaks

Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
Remediation Protocols				
When a minor gas leak is found on the utility side of service, the utility service must be contacted before work may proceed. Fuel leaks that are the responsibility of the client (vs. the utility) must be repaired before weatherizing a unit. Notify utilities and temporarily halt work when leaks are discovered that are the responsibility of the utility to address. Test exposed gas lines for fuel leaks from utility coupling into, and throughout, the home. Conduct sensory inspection on bulk fuels to determine if leaks exist.				
How do you define allowable fuel leak repairs, and at what point are repairs considered beyond the scope of weatherization?				
Fuel leak repairs are allowable when the leak is not severe enough to pose a hazard to the worker or occupant. A leak would be considered beyond the scope of weatherization if it is severe enough to pose a hazard to the worker or occupant.				
Client Education				
Inform clients in writing if fuel leaks are detected.				
Training				
Auditors are trained to conduct fuel leak testing.				

7.12 – Gas Ovens / Stovetops / Ranges		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for addressing unsafe gas ovens/stoves/ranges in homes slated for weatherization?		
When testing indicates a problem, entities may perform standard maintenance on or repair gas cooktops and ovens. Replacement is not allowed.		
Testing Protocols		
Test gas ovens for CO. Inspect cooking burners and ovens for operability and flame quality.		
Client Education		
Inform clients of the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.		
Training		
Auditors are trained on proper testing techniques. Auditors are aware of CO action levels listed in Section 7.8 above		

7.13 – Hazardous Materials Disposal [Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.]		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Hazardous Waste Materials generated in the course of weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable. Document proper disposal requirements in contract language with responsible party. Refer to <i>Lead</i> and <i>Asbestos</i> sections for more information on those topics.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
Client Education		
Inform client in writing of hazards associated with hazardous waste materials being generated/handled in the home.		
Training		
Appropriate Personal Protective Equipment (PPE) for working with hazardous waste materials. Disposal requirements and locations. Health and environmental risks related to hazardous materials.		
Disposal Procedures and Documentation Requirements		
Hazardous Waste Materials generated during weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable. Documentation of proper disposal should be included in client file		

7.14 – Injury Prevention of Occupants and Weatherization Workers (Measures such as repairing stairs and replacing handrails)

Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees regarding allowable injury-related repairs (e.g., stairs, handrails, porch deck board)?				
Workers must take all reasonable precautions against work on homes that will subject workers or occupant(s) to health and safety risks. Minor repairs and installation may be conducted only when necessary to effectively weatherize the home; otherwise these types of measures are not allowed. The auditors and workers on a job are to observe if dangers are present that may prevent completion of the weatherization work. Clients must be informed by auditors and/or workers of observed hazards and associated risks.				
How do you define "minor" or allowable injury prevention measures, and at what point are repairs considered beyond the scope of weatherization? Quantify "minor" or allowable injury prevention measures.				
<p>Minor allowable injury prevention measures are measures that are small in scope but provide additional protection for workers and occupants from potential hazards.</p> <p>Injury prevention measures that cost over \$500.00 are not considered minor and are not allowable.</p> <p>Examples of minor allowable injury prevention may include but are not limited to repair/replacing a stair tread, repair/replacing a hand rail, securing attic ladder, etc.</p> <p>This does not allow for installing wheelchair ramps or items that do not relate directly to weatherization work.</p>				
Training				
Auditors are trained in hazard identification.				

7.15 – Lead Based Paint

Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
Safe Work Protocols				
<p>Crews must follow EPA's Lead; Renovation, Repair and Painting Program (RRP) when working in pre-1978 housing unless testing confirms the work area to be lead free.</p> <p>Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards.</p> <p>Only those costs directly associated with the testing and lead safe practices for surfaces directly disturbed during weatherization activities are allowable.</p> <p>Minor Repair or Maintenance Activities: Activities that will disturb less than the following square feet of paint surfaces in 30 calendar days (counting all paint surface areas of a removed component):</p> <ul style="list-style-type: none"> i. 6 square feet per room for interior activities; or ii. 20 square feet for exterior activities. <p>But this exemption does NOT apply to the following:</p> <ul style="list-style-type: none"> i. Window replacement. ii. Demolition of painted surface areas. 				

iii. Using any of the following:

- Open-flame burning or torching;
- Machines to remove paint through high-speed operation without HEPA exhaust control; or
- Operating a heat gun at temperatures at or above 1100 degrees Fahrenheit

Mobile Homes. Often, interiors of mobile homes were not painted but rather, paneling was applied to the surfaces. Therefore, pre-1978 mobile homes that were not painted by the manufacturer, occupant, landlord, or past owner of the unit before 1978, may be exempt from LSW. However, Weatherization Programs must verify the areas receiving weatherization services have never been painted or were painted for the first time after 1978. If this is not verifiable, then LSW protocols must be followed. Painted exterior surfaces on pre-1978 units should not be drilled, scraped, sanded, or receive any other work that disturbs the paint.

Testing Protocols

Testing to determine the presence of lead in paint that will be disturbed by WAP measure installation is allowed with EPA-approved testing methods.

LSW must be applied to all pre-1978 housing unless there is existing evidence that the home has been certified as being lead-free or below the lead threshold limit (e.g., for paint containing lead below the regulated level, 1.0 mg/cm² or 0.5% by weight). One of the following methods must be used to determine the paint to be disturbed is not lead-based paint:

- Written determination by certified lead inspector or risk assessor; or
- Proper use of EPA-recognized test kit provided agencies (*documenting manufacturer and model of test kit used, description and location of components tested, and test kit results*)
- A State-approved lead-based paint test protocol

Testing methods must be economically feasible and justified.

Job site set up and cleaning verification by a Certified Renovator is required.

Grantees must verify that crews are using lead safe work practices during monitoring.

Client Education

Follow pre-renovation education provisions for RRP.

Weatherization subgrantees must provide a copy of the pamphlet, **"The Lead-Safe Certified Guide to Renovate Right"**, to owners and occupants of a dwelling built before 1978 to inform the household of the potential risk of the lead hazard exposure. Also, subgrantees are required to have the client sign a form confirming receipt of the lead pamphlet and store that form in the client's file.

If the Weatherization service provider cannot get a client signed acknowledgement, then the form will be signed by agency personnel signifying delivery of that pamphlet.

When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.

Training and Certification Requirements

All employees and contractors working on pre-1978 homes must receive training to install measures in a lead-safe manner in accordance with the SWS and EPA protocols, and installation must be overseen by an EPA Certified Renovator.

In 2010, the Alabama Lead Contractor Certification Program received approval from the Alabama State Committee on Public Health to seek EPA authorization to administer and enforce the lead-based paint RRP rules for the State of Alabama in lieu of the EPA. The Renovation Contractor Certification, Chapter 420-3-29, establish requirements for certifying renovators, dust sampling technicians, and renovation firms. Further, these rules establish requirements for renovation project notifications, pre-renovation education requirements, renovation work practices, and for record keeping. Individuals seeking to become Certified Renovators and/or Dust Sampling Technicians in Alabama must apply through Alabama's Safe State Environmental Program for accreditation.

Grantee Monitors and Inspectors will receive the certified Renovator Certification

Documentation Requirements
Documentation in the client file must include Certified Renovator certification; any training provided on-site; description of specific actions taken; lead testing and assessment documentation; and, photos of site and containment set up. Include the location of photos referenced if not in file. Each client file also must contain Lead Safe Weatherization Exemption Worksheet which identifies units which will need to conduct Lead-Safe Work Practices.

7.16 – Mold and Moisture (Including but not limited to: drainage, gutters, down spouts, extensions, flashing, sump pumps, dehumidifiers, landscape, vapor retarders, moisture barriers, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>		Results in Deferral <input type="checkbox"/>	
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with moisture related issues (e.g., drainage, gutters, down spouts, moisture barriers, dehumidifiers, vapor barrier on bare earth floors) in homes slated for weatherization?				
<p>Limited water damage repairs that can be addressed by weatherization workers are allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures.</p> <p>Source control (i.e. correction of moisture and mold creating conditions) is allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures. Source control is independent of latent damage and related repairs.</p> <p>Where severe Mold and Moisture issues cannot be addressed, deferral is required.</p> <p>Extensive mold removal/cleanup is not an allowable H&S cost.</p> <p>Surface preparation where weatherization measures are being installed (e.g., cleaning mold off window trim in order to apply caulk) must be charged as part of the ECM, not to the H&S budget category.</p> <p>Visual assessment including exterior drainage. Mold testing is not an allowable cost.</p> <p>Diagnostics such as moisture meters are recommended pre-weatherization and at the final inspection.</p>				
How do you define “minor” or allowable moisture-related measures, and at what point is work considered beyond the scope of weatherization?				
<p>Minor allowable moisture related measures may include the repair of small plumbing leaks and or structural leaks which are contributing to mold/moisture issues.</p> <p>While generally mold removal/clean-up is not allowed areas smaller than 2 sq. ft. inside the unit and areas up to 10 sq. ft. outside may be addressed</p> <p>Issues beyond these parameters may result in the deferral of the unit until the issues can be addressed by either the homeowner or other funds.</p>				
Client Education				
<p>Provide client written notification and disclaimer on mold and moisture awareness.</p> <p>Provide information on importance of cleaning and maintaining drainage systems.</p> <p>Provide information on proper landscape design and how this impacts site drainage and moisture control.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
<p>Assessors should be able to identify potential or existing mold and/or moisture issues.</p> <p>How to recognize drainage issues.</p>				

7.17 – Pests				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with pests and pest intrusion prevention in homes slated for weatherization?				
<p>Pest removal is allowed only where infestation would prevent weatherization.</p> <p>Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses H&S concern for workers.</p> <p>Screening of windows and points of access, and incorporating pest exclusion into air sealing practices to prevent intrusion is allowed.</p>				
Define Pest Infestation Thresholds, Beyond Which Weatherization Is Deferred				
<p>The threshold for pest infestation is set at \$500.00.</p> <p>If the pest infestation cannot be addressed at or below this threshold it is considered beyond the scope of weatherization and the home must be deferred.</p>				
Testing Protocols				
Auditors assess the degree of infestation and risk to worker.				
Client Education				
<p>Inform client in writing of observed condition and associated risks.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
Auditors are trained to assess the presence and degree of infestation, associated risks, and deferral policy.				

7.18 – Radon				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees around radon?				
<p>Radon mitigation is not an allowable H&S cost.</p> <p>In homes where radon may be present, work scope should include precautionary measures based on EPA Healthy Indoor Environment Protocols for Home Energy Upgrades, to reduce the possibility of making radon issues worse.</p> <p>Whenever site conditions permit, cover exposed dirt floors within the pressure/thermal boundary with 6 mil (or greater) polyethylene sheeting, lapped at least 12" and sealed with appropriate sealant at all seams, walls and penetrations.</p> <p>Other precautions may include, but are not limited to, sealing any observed floor and/or foundation penetrations, including open sump pits, isolating the basement from the conditioned space, and ensuring crawl space venting is installed.</p>				

Testing Protocols
The weatherization program in Alabama will not test for Radon.
Client Education
Provide all clients EPA's <i>A Citizen's Guide to Radon</i> and inform them of radon related risks. Informed consent form must include: Information from the results of the IAQ Study that there is a small risk of increasing radon levels when building tightness is improved; A list of precautionary measures WAP will install based on EPA Healthy Indoor Environment Protocols; Some of the benefits of Weatherization including energy savings, energy cost savings, improved home comfort, and increased safety; and confirmation that EPA's <i>A Citizen's Guide to Radon</i> was received and radon related risks discussed with the client.
Training and Certification Requirements
Auditors, assessors and inspectors must have knowledge of radon, what it is and how it occurs, including what factors may make radon worse, and precautionary measures that may be helpful. Workers must be trained in proper vapor retarder installation. A zonal map can be located at http://www.epa.gov/radon/pdfs/zonemapcolor.pdf
Documentation Requirements
Clients must sign a Radon Informed Consent Form prior to receiving weatherization services. This form must be kept in the client file.

7.19 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What is your policy for installation or replacement of the following:				
Smoke Alarms: Should be installed on each floor outside sleeping areas if operable alarms are not present. Should be installed according to the manufacturer's instructions.				
Carbon Monoxide Alarms: Must be installed in every home if operable alarm is not present. Should be installed according to manufacturer's instructions.				
Fire Extinguishers: May be installed when solid fuel is present. Should be installed according to manufacturer's instructions.				
Testing Protocols				
Check existing alarms for operation. Verify operation of installed alarms.				
Client Education				
Provide client with verbal and written information on use of devices installed.				
Training				
Auditors are trained on where to install alarms. Auditors should be aware of local (or AHJ) code compliance.				

7.20 – Occupant Health and Safety Concerns and Conditions		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for soliciting the occupants' health and safety concerns related to components of their homes?		
All clients are required to sign a Health and Allergy Concerns Form which provides them with information about materials used in weatherization and instructs them to make arrangements so that they are not present during work which may aggravate health issues they may have.		
What guidance do you provide Subgrantees for determining whether occupants suffer from health conditions that may be negatively affected by the act of weatherizing their home?		
An important aspect of any inspection is client education. Once a clear understanding has been reached between the auditor and the client(s), work that will not aggravate any client pre-existing health condition shall begin. In some rare instances, a deferral may be required.		
What guidance do you provide Subgrantees for dealing with potential health concerns when they are identified?		
When a person's health may be at risk and/or the work activities could create a H&S hazard, the at-risk occupant will be required to take appropriate action based on the severity of the risk. Temporary relocation of at-risk occupants may be necessary. Failure or inability to take appropriate actions will result in a deferral.		
Client Education		
Inform client in writing of any known risks.		
Provide client with Subgrantee point of contact information in writing so client can inform of any issues.		
When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.		
Documentation Form(s) have been developed and comply with guidance? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		

7.21 – Ventilation and Indoor Air Quality		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
Identify the Most Recent Version of ASHRAE 62.2 Implemented (optional: identify Addenda used)		
The Alabama Weatherization Assistance Program uses ASHRAE 62.2-2016		
Testing and Final Verification Protocols		
ASHRAE 62.2 evaluation to determine required ventilation.		
Measure fan flow of existing fans and of installed equipment to verify performance.		
Testing to determine ventilation requirements prior to weatherization.		
Follow up testing to ensure ventilation requirements were met.		
Subgrantees are instructed to use the Residential Energy Dynamics (RED) ASHRAE 62.2-2016 calculator located at www.residentialenergydynamics.com		
The use of balanced ventilation systems is encouraged.		

Client Education
Provide client with information on function, use, and maintenance (including location of service switch and cleaning instructions) of ventilation system and components.
Provide client with equipment manuals for installed equipment.
Include disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.
Training
ASHRAE 62.2 training, including proper sizing, evaluation of existing and new systems.
Subgrantees are instructed to use the Residential Energy Dynamics (RED) ASHRAE 62.2-2016 calculator located at www.residentialenergydynamics.com

7.22 – Window and Door Repair and Replacement, Window Guards				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>		Results in Deferral <input type="checkbox"/>	
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide to Subgrantees regarding window and door repair and replacement and window guards?				
Repair using H&S funds is allowed if: It resolves a bulk water intrusion issue that is the cause of visible biological growth and; Is well documented with written explanation and photos of the biological growth in the client file. Replacement of doors and windows is not allowed with H&S funds. Window and door replacements shall not be included in the air sealing ECM				
How do you define “minor” or allowable window and door repairs, and at what point are repairs considered beyond the scope of weatherization?				
When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR. If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed, and the unit may need to be deferred.				
Testing Protocols				
N/A				
Client Education				
Provide written information on lead risks and mold wherever issues are identified.				
Training				
Awareness of guidance.				

7.23 – Worker Safety (OSHA, etc.)		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Workers must follow OSHA standards where required and take precautions to ensure the H&S of themselves and other workers.		
All Subgrantees and contractors must maintain compliance with the current OSHA Hazard Communication Standard, including on-site organized Safety Data Sheets (SDS) (formerly called MSDS).		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you verify safe work practices? What is your policy for in-progress monitoring?		
Grantees must verify that Subgrantees, crews and contractors follow safe work practices.		
Training and Certification Requirements		
Use and importance of PPE.		
Safety training appropriate for job requirements.		
OSHA 10-hour training meets this requirement and is an allowable use of T&TA funds for Subgrantee Staff and Contractors working in the program		
Ongoing training as required in Hazard Communication Program.		

U.S. DEPARTMENT OF ENERGY
OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY
NEPA DETERMINATION



RECIPIENT: States and Territories with DOE-executed Signed Historical Preservation Agreements **STATE:** Mult

PROJECT TITLE Weatherization Assistance Program Fiscal Year 2020 Formula Awards

Funding Opportunity Announcement Number	Procurement Instrument Number	NEPA Control Number	CID Number
WAP-ALRD-2020A	WAP-ALRD-2020A	GFO-WAP-ALRD-2020A	

Based on my review of the information concerning the proposed action, as NEPA Compliance Officer (authorized under DOE Policy 451.1), I have made the following determination:

CX, EA, EIS APPENDIX AND NUMBER:

Description:

- | | |
|--|--|
| A9 Information gathering, analysis, and dissemination | Information gathering (including, but not limited to, literature surveys, inventories, site visits, and audits), data analysis (including, but not limited to, computer modeling), document preparation (including, but not limited to, conceptual design, feasibility studies, and analytical energy supply and demand studies), and information dissemination (including, but not limited to, document publication and distribution, and classroom training and informational programs), but not including site characterization or environmental monitoring. (See also B3.1 of appendix B to this subpart.) |
| A11 Technical advice and assistance to organizations | Technical advice and planning assistance to international, national, state, and local organizations. |
| B1.16 Asbestos removal | Removal of asbestos-containing materials from buildings in accordance with applicable requirements (such as 40 CFR part 61, "National Emission Standards for Hazardous Air Pollutants"; 40 CFR part 763, "Asbestos"; 29 CFR part 1910, subpart I, "Personal Protective Equipment"; and 29 CFR part 1926, "Safety and Health Regulations for Construction"; and appropriate state and local requirements, including certification of removal contractors and technicians). |
| B1.34 Lead-based paint containment, removal, and disposal | Containment, removal, and disposal of lead-based paint in accordance with applicable requirements (such as provisions relating to the certification of removal contractors and technicians at 40 CFR part 745, "Lead-Based Paint Poisoning Prevention In Certain Residential Structures"). |
| B2.2 Building and equipment instrumentation | Installation of, or improvements to, building and equipment instrumentation (including, but not limited to, remote control panels, remote monitoring capability, alarm and surveillance systems, control systems to provide automatic shutdown, fire detection and protection systems, water consumption monitors and flow control systems, announcement and emergency warning systems, criticality and radiation monitors and alarms, and safeguards and security equipment). |
| B3.1 Site characterization and environmental monitoring | Site characterization and environmental monitoring (including, but not limited to, siting, construction, modification, operation, and dismantlement and removal or otherwise proper closure (such as of a well) of characterization and monitoring devices, and siting, construction, and associated operation of a small-scale laboratory building or renovation of a room in an existing building for sample analysis). Such activities would be designed in conformance with applicable requirements and use best management practices to limit the potential effects of any resultant ground disturbance. Covered activities include, but are not limited to, site characterization and environmental monitoring under CERCLA and RCRA. (This class of actions excludes activities in aquatic environments. See B3.16 of this appendix for such activities.) Specific activities include, but are not limited to: (a) Geological, geophysical (such as gravity, magnetic, electrical, seismic, radar, and temperature gradient), geochemical, and engineering surveys and mapping, and the establishment of survey marks. Seismic techniques would not include large-scale reflection or refraction testing; (b) Installation and operation of field instruments (such as stream-gauging stations or flow-measuring devices, telemetry systems, geochemical monitoring tools, and geophysical exploration tools); (c) Drilling of wells for sampling or monitoring of groundwater or the vadose (unsaturated) zone, well logging, and installation of water-level recording devices in wells; (d) Aquifer and underground reservoir response testing; (e) Installation and operation of ambient air monitoring equipment; (f) Sampling and characterization of water, soil, rock, or contaminants (such as drilling using truck- or mobile-scale equipment, and modification, use, and plugging of boreholes); (g) Sampling and characterization of water effluents, air emissions, or solid waste streams; (h) Installation and operation of meteorological towers and associated activities (such as assessment of potential wind energy resources); (i) Sampling of flora or fauna; and (j) Archeological, historic, and cultural resource identification in compliance with 36 CFR part 800 and 43 CFR part 7. |
| B5.1 Actions to conserve | (a) Actions to conserve energy or water, demonstrate potential energy or water conservation, and promote energy efficiency that would not have the potential to cause significant changes in the indoor or outdoor |

energy or water	concentrations of potentially harmful substances. These actions may involve financial and technical assistance to individuals (such as builders, owners, consultants, manufacturers, and designers), organizations (such as utilities), and governments (such as state, local, and tribal). Covered actions include, but are not limited to weatherization (such as insulation and replacing windows and doors); programmed lowering of thermostat settings; placement of timers on hot water heaters; installation or replacement of energy efficient lighting, low-flow plumbing fixtures (such as faucets, toilets, and showerheads); heating, ventilation, and air conditioning systems, and appliances; installation of drip-irrigation systems; improvements in generator efficiency and appliance efficiency ratings; efficiency improvements for vehicles and transportation (such as fleet changeout); power storage (such as flywheels and batteries, generally less than 10 megawatt equivalent); transportation management systems (such as traffic signal control systems, car navigation, speed cameras, and automatic plate number recognition); development of energy-efficient manufacturing, industrial, or building practices; and small-scale energy efficiency and conservation research and development and small-scale pilot projects. Covered actions include building renovations or new structures, provided that they occur in a previously disturbed or developed area. Covered actions could involve commercial, residential, agricultural, academic, institutional, or industrial sectors. Covered actions do not include rulemakings, standard-settings, or proposed DOE legislation, except for those actions listed in B5.1(b) of this appendix. (b) Covered actions include rulemakings that establish energy conservation standards for consumer products and industrial equipment, provided that the actions would not: (1) have the potential to cause a significant change in manufacturing infrastructure (such as construction of new manufacturing plants with considerable associated ground disturbance); (2) involve significant unresolved conflicts concerning alternative uses of available resources (such as rare or limited raw materials); (3) have the potential to result in a significant increase in the disposal of materials posing significant risks to human health and the environment (such as RCRA hazardous wastes); or (4) have the potential to cause a significant increase in energy consumption in a state or region.
B5.16 Solar photovoltaic systems	The installation, modification, operation, and removal of commercially available solar photovoltaic systems located on a building or other structure (such as rooftop, parking lot or facility, and mounted to signage, lighting, gates, or fences), or if located on land, generally comprising less than 10 acres within a previously disturbed or developed area. Covered actions would be in accordance with applicable requirements (such as local land use and zoning requirements) in the proposed project area and would incorporate appropriate control technologies and best management practices.
B5.17 Solar thermal systems	The installation, modification, operation, and removal of commercially available smallscale solar thermal systems (including, but not limited to, solar hot water systems) located on or contiguous to a building, and if located on land, generally comprising less than 10 acres within a previously disturbed or developed area. Covered actions would be in accordance with applicable requirements (such as local land use and zoning requirements) in the proposed project area and would incorporate appropriate control technologies and best management practices.

Rationale for determination:

The U.S. Department of Energy (DOE) administers the Weatherization Assistance Program (WAP) as authorized by Title IV, Energy Conservation and Production Act, as amended. The goal of WAP is to increase the energy efficiency of dwellings owned or occupied by low-income persons, reduce their total residential expenditures, and improve their health and safety. DOE anticipates making approximately 57 formula-based awards under the Fiscal Year 2020 WAP to states, territories, a tribal government, and the District of Columbia (hereinafter "States"). Each home weatherized under WAP would receive approximately \$7,669 as determined by site-specific outcomes of the energy audit process.

This NEPA determination is specific to WAP Recipients with a DOE executed Historic Preservation Programmatic Agreement. WAP Recipients without a DOE executed Historic Preservation Programmatic Agreement have a separate NEPA determination: GFO-WAP-ALRD 2020B.

Allowable activities include:

1. Energy audits including diagnostic testing to determine the scope of weatherization activities at each home.
2. Administrative activities associated with management of the designated Weatherization Office and management of programs and strategies in support of weatherization activities.
3. Development and implementation of training programs and strategies for weatherization efforts, including initial home energy audits, final inspections and client education.
4. Purchase of vehicles and equipment needed for administrative activities, weatherization energy audits, installation of measures indicated below, and quality control inspections.
5. Weatherization activities provided that projects apply the restrictions of each State's DOE executed historic preservation programmatic agreement with their State Historic Preservation Office (SHPO), and are limited to:
 - a. Building Shell Measures:
 - i. Install insulation where needed
 - ii. Perform air sealing

iii. Repair and replace windows, install window film, awnings and solar screens

b. Mechanical Measures

i. Clean, tune, repair, or replace heating and/or cooling systems

ii. Install duct and heating pipe insulation

iii. Repair leaks in heating/cooling ducts

iv. Install programmable thermostats

v. Repair/replace water heaters

vi. Install water heater tank insulation

c. Electric and Water Measures

i. Install efficient light sources

ii. Install low-flow showerheads

iii. Replace inefficient refrigerators with energy-efficient models

6. Energy-related health and safety measures (per DOE WAP Guidance WPN 17-7) including:

a. Combustion appliance safety inspections

b. Air quality assessment and limited removal of formaldehyde, volatile organic compounds, flammable liquids, and other air pollutants

c. Gas and bulk fuel leak inspections

d. Limited testing and/or containment, removal or disposal of lead, asbestos, refrigerant, and mercury, and other materials generated during the course of WAP activities

e. Cleaning of mold limited to surface preparation for WAP activities

f. Conduct radon testing and precautionary measures, including but not limited to, covering exposed dirt floors with polyethylene sheeting which contains a rating of no more than 0.1 perm, which is sealed and attached at all seams, walls and foundation penetrations

g. Inspect and install carbon monoxide and smoke alarms

h. Install ventilation as required by the American Society of Heating and Air-Conditioning Engineers (ASHRAE) 62.2-2016 standard, including blower door testing addressing infiltration, ventilation, and exhaust

7. Incidental and necessary energy-related repairs and replacements

a. Repair/replace damaged windows and doors

b. Minor electrical and plumbing repairs

8. Installation of appropriately sized solar photovoltaic (PV) and/or solar hot water heating systems on buildings with 1-4 units, subject to the following restrictions:

a. PV systems would not exceed 15 kW, and/or solar hot water heating systems would not exceed 200,000 BTU/HR.

b. Systems would be roof mounted or attached to a structure. Installation would include attaching the system to the structure and installing necessary electrical connections.

c. Any necessary battery storage would be attached to the structure.

d. No tree removal would occur.

Activities/projects not listed above, including ground disturbing activities and tree removal, are not included under the ALRD categorical exclusion and are subject to additional NEPA review and approval by DOE. For activities/projects, requiring additional NEPA review, states must complete the environmental questionnaire (EQ-1): <https://www.eere-pmc.energy.gov/NEPA.aspx> and receive notification from DOE that the NEPA review has been completed and approved by the Contracting Officer prior to initiating the project or activities.

All incidental measures relating to hazardous materials identified during the WAP activities would be managed in accordance with applicable federal, state, and local requirements.

NEPA PROVISION

DOE has made a conditional NEPA determination.

The NEPA Determination applies to the following Topic Areas, Budget Periods, and/or tasks:

This NEPA Determination only applies to projects funded by WAP-ALRD-2020 and completed by Recipients that have a DOE executed Historic Preservation Programmatic Agreement, and to projects that fit within the "Allowable activities" listed in the rationale section above.

The NEPA Determination does not apply to the following Topic Area, Budget Periods, and/or tasks:

This NEPA Determination does NOT apply to Recipients that do not have a DOE executed Historic Preservation Programmatic Agreement, and projects that do not fit within the "Allowable activities" listed above.

Include the following condition in the financial assistance agreement:

Activities/projects not listed under "Allowable activities" are subject to additional NEPA review and approval by DOE, whether the intention is to use WAP formula or Petroleum Violation Escrow (PVE) funds to fund the project. For activities/projects, requiring additional NEPA review, states must complete the environmental questionnaire: <https://www.eere-pmc.energy.gov/NEPA.aspx> and receive notification from DOE that the NEPA review has been completed and approved by the Contracting Officer prior to initiating the project or activities.

Some weatherization activities listed under "Allowable activities" are more restrictive than the Categorical Exclusion. The restrictions listed in the "Allowable activities" must be followed.

Recipients shall adhere to the restrictions of their DOE executed PA for historic preservation. Additionally, recipients must adhere to the requirements included in "Term 8. Historic Preservation" included in the Special Terms and Conditions of the financial assistance agreement.

Notes:

Weatherization & Intergovernmental Programs Office - WAP
This NEPA Determination requires a tailored NEPA provision.
NEPA review completed by Diana Heyder, 02/03/20

FOR CATEGORICAL EXCLUSION DETERMINATIONS

The proposed action (or the part of the proposal defined in the Rationale above) fits within a class of actions that is listed in Appendix A or B to 10 CFR Part 1021, Subpart D. To fit within the classes of actions listed in 10 CFR Part 1021, Subpart D, Appendix B, a proposal must be one that would not: (1) threaten a violation of applicable statutory, regulatory, or permit requirements for environment, safety, and health, or similar requirements of DOE or Executive Orders; (2) require siting and construction or major expansion of waste storage, disposal, recovery, or treatment facilities (including incinerators), but the proposal may include categorically excluded waste storage, disposal, recovery, or treatment actions or facilities; (3) disturb hazardous substances, pollutants, contaminants, or CERCLA-excluded petroleum and natural gas products that preexist in the environment such that there would be uncontrolled or unpermitted releases; (4) have the potential to cause significant impacts on environmentally sensitive resources, including, but not limited to, those listed in paragraph B(4) of 10 CFR Part 1021, Subpart D, Appendix B; (5) involve genetically engineered organisms, synthetic biology, governmentally designated noxious weeds, or invasive species, unless the proposed activity would be contained or confined in a manner designed and operated to prevent unauthorized release into the environment and conducted in accordance with applicable requirements, such as those listed in paragraph B(5) of 10 CFR Part 1021, Subpart D, Appendix B.

There are no extraordinary circumstances related to the proposed action that may affect the significance of the environmental effects of the proposal.

The proposed action has not been segmented to meet the definition of a categorical exclusion. This proposal is not connected to other actions with potentially significant impacts (40 CFR 1508.25(a)(1)), is not related to other actions with individually insignificant but cumulatively significant impacts (40 CFR 1508.27(b)(7)), and is not precluded by 40 CFR 1506.1 or 10 CFR 1021.211 concerning limitations on actions during preparation of an environmental impact statement.

A portion of the proposed action is categorically excluded from further NEPA review. The NEPA Provision identifies Topic Areas, Budget Periods, tasks, and/or subtasks that are subject to additional NEPA review.

SIGNATURE OF THIS MEMORANDUM CONSTITUTES A RECORD OF THIS DECISION.

NEPA Compliance Officer Signature:

Electronically
Signed By:

Casey Strickland

NEPA Compliance Officer

Date:

2/5/2020

FIELD OFFICE MANAGER DETERMINATION

- ☒ Field Office Manager review not required
☐ Field Office Manager review required

BASED ON MY REVIEW I CONCUR WITH THE DETERMINATION OF THE NCO :

Field Office Manager's Signature:

Field Office Manager

Date: