

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

2. Type of Application:

- ☐ New  
☒ Continuation  
☐ Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

04/07/2022

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:

DE-EE0009902

**State Use Only:**

6. Date Received by State:

04/07/2022

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

a. Legal Name: State of Iowa

b. Employer/Taxpayer Identification Number (EIN/TIN):  
426004571

c. UEI:  
ZVZKKJ5J8954

**d. Address:**

Street 1: Lucas State Office Building  
Street 2: 321 East 12th Street  
City: Des Moines  
County: POLK County  
State: IA  
Province:  
Country: U.S.A.  
Zip / Postal Code: 503190000

**e. Organizational Unit:**

Department Name:  
Department of Human Rights

Division Name:  
Division of Community Action Agencies

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: First Name: Christine  
Middle Name:  
Last Name: Taylor  
Suffix:

Title:

Organizational Affiliation: Christine Taylor

Telephone Number: 5152814565

Fax Number:

Email: christine.taylor@iowa.gov

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government

**10. Name of Federal Agency:**

U. S. Department of Energy

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

81.042

CFDA Title:

Weatherization Assistance Program

**12. Funding Opportunity Number:**

DE-WAP-0002023

Title:

2023 Weatherization Assistance Program

**13. Competition Identification Number:**

Title:

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

State of Iowa

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

Iowa Weatherization Assistance for Low Income Households

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**16. Congressional District Of:**

a. Applicant: Iowa Congressional District 03

b. Program/Project: IA-Statewide

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

**17. Proposed Project:**

a. Start Date: 04/01/2023

b. End Date: 03/31/2024

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

a. Federal	5,893,595.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	5,893,595.00

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

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

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

No

**21. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to**

☒ I AGREE

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

**Authorized Representative:**

Prefix: First Name: WILLIAM

Middle Name: J

Last Name: BRAND

Suffix:

Title: Administrator, Community Action Agencies

Telephone Number: (515)281-3268

Fax Number:

Email: Bill.Brand@iowa.gov

Signature of Authorized Representative: Signed Electronically

Date Signed:

Authorized for Local Reproduction

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000		4. Program/Project Start Date 04/01/2023	5. Completion Date 03/31/2024

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.042	\$ 0.00		\$ 6,193,241.00		\$ 6,193,241.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 6,193,241.00	\$ 0.00	\$ 6,193,241.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON	(2) SUBGRANTEE ADMINISTRATI ON	(3) GRANTEE T&TA	(4) PROGRAM OPERATIONS	
a. Personnel	\$ 130,862.00	\$ 0.00	\$ 348,800.00	\$ 0.00	\$ 479,662.00
b. Fringe Benefits	\$ 52,713.00	\$ 0.00	\$ 128,411.00	\$ 0.00	\$ 181,124.00
c. Travel	\$ 0.00	\$ 0.00	\$ 107,182.00	\$ 0.00	\$ 107,182.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 8,127.00	\$ 0.00	\$ 6,390.00	\$ 0.00	\$ 14,517.00
f. Contract	\$ 0.00	\$ 750,510.00	\$ 0.00	\$ 3,084,510.00	\$ 5,210,965.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 32,365.00	\$ 0.00	\$ 41,877.00	\$ 0.00	\$ 74,242.00
i. Total Direct Charges	\$ 224,067.00	\$ 750,510.00	\$ 632,660.00	\$ 3,084,510.00	\$ 6,067,692.00
j. Indirect Costs	\$ 34,879.00	\$ 0.00	\$ 90,670.00	\$ 0.00	\$ 125,549.00
k. Totals	\$ 258,946.00	\$ 750,510.00	\$ 723,330.00	\$ 3,084,510.00	\$ 6,193,241.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000	4. Program/Project Start Date 04/01/2023		
	5. Completion Date 03/31/2024		

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 6,193,241.00	\$ 0.00	\$ 6,193,241.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) HEALTH AND SAFETY	(2) SUBGRANTEE T&TA	(3) Weatherization Readiness	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 479,662.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 181,124.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 107,182.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 14,517.00
f. Contract	\$ 771,375.00	\$ 300,372.00	\$ 304,198.00		\$ 5,210,965.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 74,242.00
i. Total Direct Charges	\$ 771,375.00	\$ 300,372.00	\$ 304,198.00		\$ 6,067,692.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 125,549.00
k. Totals	\$ 771,375.00	\$ 300,372.00	\$ 304,198.00		\$ 6,193,241.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

**U.S. Department of Energy**  
**BUDGET INFORMATION REMARKS**

**(Grant Number: EE0009902)**

---

**Remarks**

Final WAP allocations in WPN 23-2 will include adjustments from planning numbers.

The grantee may reallocate funds as necessary to fully expend the grant award during the budget period.

DRAFT

# U.S. DEPARTMENT OF ENERGY



## BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Iowa  
Award number: EE0009902

Budget period: 04/01/2023 - 03/31/2024

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

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

Position	Description of Duties of Professionals
Division Administrator	Overall responsibility for the Iowa Weatherization Assistance Program (WAP), as well as the Low-Income Energy Assistance Program (LIHEAP), and the Community Service Block Grant (CSBG) program. The balance of the Administrator's salary and benefits is paid by these other, non-weatherization programs.
Bureau Chief	Overall responsibility for administration of Iowa WX program. Team leader for WX staff. Develops, updates and implements administrative policies and procedures. Monitors and provides technical assistance to subgrantees.
Administrative Assistant	General administrative duties. Assists in coordinating training sessions and meetings. Maintains inventory. The balance of the Administrative Assistant's salary and benefits is paid by other, non-weatherization programs, LIHEAP, CSBG and FaDSS.
Technical Specialist/Trainer/QCI	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to subgrantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Technical Specialist/Trainer & QCI	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to subgrantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Program Specialist	Monitors subgrantees for administrative and program compliance issues. Assists in developing, updating and implementing administrative policies and procedures. Works with State Historical Preservation personnel to meet all SHPO reporting requirements. Is also working with QCI to gain field experience.
Budget Analyst	Handles utility company contracts. Provides monthly financial and data reports to utility companies. Processes subgrantee monthly financial claims. Reviews closeout reports. Manages the computerized reporting system including providing statistical analysis of WAP database. Provides technical assistance to subgrantees on the reporting system. Provides fiscal monitoring of subgrantees.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
Division Administrator	\$111,893.00	35.0000 % FT	\$39,162.55
Bureau Chief	\$100,065.00	100.0000 % FT	\$100,065.00
Administrative Assistant	\$47,575.00	35.0000 % FT	\$16,651.25
Technical Specialist/Trainer/QCI	\$86,785.00	100.0000 % FT	\$86,785.00
Technical Specialist/Trainer & QCI	\$74,696.00	100.0000 % FT	\$74,696.00
Program Specialist	\$86,784.00	100.0000 % FT	\$86,784.00
Budget Analyst	\$75,519.00	100.0000 % FT	\$75,519.00

Direct Pay Total \$479,662.80

## 2. FRINGE BENEFITS

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

FICA 7.65%  
 Health Insur \$8,592 - \$19,536/yr  
 Dental Insur \$367 - \$496/yr  
 Life Insur \$40/yr  
 Disability Insur 34.33% of \$60M  
 Retirement 8.07% - 8.67% of gross  
 Deferred Com \$900/yr max match  
 Personnel Processing Fee \$20.67/mo  
 Flex Spending Fee \$12.78/mo  
 Professional Development Training (state sponsored) \$850/yr

### Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
Division Administrator	\$39,162.55	35.6059 %	\$13,944.18
Bureau Chief	\$100,065.00	37.8142 %	\$37,838.78
Administrative Assistant	\$16,651.25	62.3960 %	\$10,389.71
Technical Specialist/Trainer/QCI	\$86,785.00	41.9105 %	\$36,372.03
Technical Specialist/Trainer & QCI	\$74,696.00	30.8373 %	\$23,034.23
Program Specialist	\$86,784.00	41.9110 %	\$36,372.04
Budget Analyst	\$75,519.00	30.6857 %	\$23,173.53
		Fringe Benefits Total	\$181,124.50

## 3. TRAVEL

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

Purpose of Trip	Number of Trips	Cost Per Trip	Total
IWAC Meetings - this is the network of sub-grantee coordinators. Grantee staff attends each meeting to discuss on-going issues.	8	\$200.00	\$1,600.00
Technical Monitoring - includes review of work in process as well as completed jobs.	51	\$500.00	\$25,500.00
Fiscal monitoring	17	\$500.00	\$8,500.00
Training - provide required specific (Tier 2) training to sub-grantee personnel. Includes: NEAT/MHEA, Mold & Moisture, Furnace and Combustion H&S, Basic Evaluator, and Blower Door & Zone Pressures	12	\$500.00	\$6,000.00



On-site technical assistance provided to sub-grantees by grantee staff.	25	\$500.00	\$12,500.00
Conference (Code Compliance, ASHRAE, RESNET, Energy Out West and HPC Regional Conferences) for grantee staff to stay current with new WAP techniques.	8	\$3,000.00	\$24,000.00
NASCSP Meeting	5	\$3,000.00	\$15,000.00
Administrative Monitoring	17	\$500.00	\$8,500.00
WIPFLI Conference for Fiscal and Administrative monitors	2	\$2,791.00	\$5,582.00
		Travel Total	\$107,182.00

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

Required monitoring activities are budgeted based on past trips.

Other meetings including NASCSP, ASHRAE, EOW, Code Compliance, Home Performance (HPC), WIPFLI, IWAC and DOE meetings are necessary for grantee and sub-grantees to stay current on policies and procedures.

The training travel is necessary for state staff to provide Specific Training to sub-grantee staff in ensure they are providing high level quality services to clients. The training is provided in a classroom/on-site format and available to all sub-grantee staff.

On-site technical assistance is provided to sub-grantees on an as-needed basis. This would include trouble shooting problem houses.

**4. EQUIPMENT** - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year.

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

Equipment	Unit Cost	Number	Total Cost	Justification of Need
-----------	-----------	--------	------------	-----------------------

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

**5. SUPPLIES** - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance.

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

General Category	Cost	Justification of Need
Office supplies.	\$8,127.00	General office supplies to administer the program and maintain records.
Misc. tools, training supplies	\$6,390.00	Used during inspections of homes and for training.
Materials and Supplies Total	\$14,517.00	

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

Based on historical data. Purchased from vendors on state contract.

**6. CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e weatherization subgrants, Annual File section IV.1).

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Subgrantee T&TA	\$300,372.00	Each sub-grantee is provided T&TA to provide weatherization training to staff. These funds will be used for registration, salary/fringe, travel and per-diem to attend the training and conferences. Each agency is required to provide Comprehensive HEP Energy Auditor or QCI training to employees. T&TA funds may also be used for specific training provided by grantee or other sources.
Weatherization Readiness funds	\$304,198.00	To be allocated on a case-by-case basis to sub-grantees with eligible readiness projects.
Sub-Grantees (Admin, Health & Safety and Program Operations)	\$4,606,395.00	Based on state formula for sub-grantees.
Contracts and Subgrants Total	\$5,210,965.00	

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

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

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

<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
Dues- Energy Out West, NASCSP, etc.	\$14,065.00	To maintain the grantee membership in NASCSP organization. This group provides training and technical assistance to the grantee for both administrative and programmatic services to clients. To establish grantee membership in Energy Out West as a strong provider of weatherization related training and information.
Comprehensive (Tier 1) Training	\$10,000.00	To allow DCAA employees to attend Energy Auditor and/or QCI training refresher courses. DCAA will provide T&TA funds to sub-grantees through the contracts to obtain comprehensive training.
Specific (Tier 2) Training	\$31,877.00	To provide specific training to all sub-grantee weatherization staff about on-going changes in testing, measure installation, reporting, and inspection procedures. Some of this will include the basic courses required by DCAA for weatherization staff.
Printing/Postage/Phone	\$18,300.00	These items are directly related to the Weatherization Program and are not included in the indirect costs. This provides services needed for Grantee staff to perform their job duties. This lists not only administrative costs, but includes the cost of mobile phone service charged to T&TA.
Other Direct Costs Total	\$74,242.00	

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

All costs included in "Other Costs" are properly excluded from indirect costs to ensure there are not duplicate charges. All costs proposed are used in support of the Weatherization Program only.

Estimated costs are based on historical spending detail.

Printing, postage and phone include not only administrative costs, but those costs charged to T&TA for mobile phone service.

Dues - based on historical data.

Comprehensive and specific training costs are based on estimated fees charged for training locations, trainers and other related costs.

#### 8. INDIRECT COSTS

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

The indirect cost rate is approved by Department of Health and Human Services. It is a provisional rate of 19.0% and is effective from 07/01/2020 until 06/30/2023. The base for indirect costs is direct salaries, wages and all fringe benefits. See Attachment on the SF424

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

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

Name: Jim Mezera

Phone Number: 5152810898

Indirect costs calculations:

<u>Indirect Cost Account</u>	<u>Direct Total</u>	<u>Indirect Rate</u>	<u>Total Indirect</u>
Administration - Personnel and Fringe	\$183,575.00	19.0000 %	\$34,879.25
T&TA - Personnel and Fringe	\$477,211.00	19.0000 %	\$90,670.09
		Indirect Costs Total	\$125,549.34

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

(Grant Number: EE0009902, State: IA, Program Year: 2023)

**IV.1 Subgrantees**

Subgrantee (City)	Planned Funds/Units
01 Community Opportunities, Inc (Carroll)	\$228,362.00 16
02 Hawkeye Area Community Action Program (Hiawatha)	\$726,849.00 59
03 Community Action of Eastern Iowa (Davenport)	\$437,497.00 35
04 MATURA Action Corporation (Creston)	\$104,449.00 7
05 Mid-Iowa Community Action Agency (Marshalltown)	\$323,719.00 24
06 Mid-Sioux Opportunity, Inc. (Remsen)	\$127,786.00 9
09 Northeast Iowa Community Action Corporation (Decorah)	\$251,476.00 18
11 Operation Threshold (Waterloo)	\$336,156.00 25
12 IMPACT Community Action Partnership (Des Moines)	\$145,911.00 10
13 South Central Iowa Community Action Program (Chariton)	\$102,607.00 7
14 Community Action of Southeast Iowa (Burlington)	\$231,131.00 17
15 Southern Iowa Economic Development (Ottumwa)	\$260,146.00 19
16 Upper Des Moines Opportunity, Inc. (Graettinger)	\$460,069.00 37
17 West Central Community Action (Harlan)	\$330,163.00 25
18 Community Action of Siouxland (Sioux City)	\$226,523.00 16
20 Polk County Board of Supervisors (Des Moines)	\$613,922.00 50
<b>Total:</b>	<b>\$4,906,766.00</b> <b>374</b>

**IV.2 WAP Production Schedule**

Weatherization Plans		Units
Total Units (excluding reweatherized)		364
Rewaterized Units		10
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	364
C	Total Units Rewaterized	10

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

(Grant Number: EE0009902, State: IA, Program Year: 2023)

D	Total Dwelling Units to be Weatherized and Reweatherized (B . C)	374
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$3,084,510.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	374
H	Average Program Operations Costs per Unit (F divided by G)	\$8,247.35
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$8,247.35

**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	374	29.3	10958
	Prior Year Estimate	385	29.3	11280
	Prior Year Actual	360	29.3	10548
Method used to calculate savings description:				

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

DCAA does not use DOE funds for leveraging activities.
--

**IV.5 Policy Advisory Council Members**

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

Baker-Maynes, Bobbi	Type of organization: Other Contact Name: Phone: 6413446208 Email: <a href="mailto:lbmaynes@netins.net">lbmaynes@netins.net</a>
Brown, Anna	Type of organization: Other Contact Name: Phone: 8124849053 Email: <a href="mailto:abrown20914@yahoo.com">abrown20914@yahoo.com</a>
Brown, Kevin	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 7123321111 Email: <a href="mailto:kevinclaybrown@gmail.com">kevinclaybrown@gmail.com</a>
Iowa Commission for the Division of Community Action Agencies	Type of organization: Other Contact Name: Melanie Ruffalo Phone: 5152813861 Email: <a href="mailto:Melanie.Ruffalo@iowa.gov">Melanie.Ruffalo@iowa.gov</a>
Kumar, Ajit	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Phone: 5159887908 Email: <a href="mailto:ajitk@a-t-g.com">ajitk@a-t-g.com</a>
Murphy, John	Type of organization: Unit of Local Government Contact Name: Phone: 5635139064 Email: <a href="mailto:john.murphy@dubuquecounty.us">john.murphy@dubuquecounty.us</a>
Nicole Conrad	Type of organization: Unit of Local Government Contact Name: Phone: 5155703228

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

Whisenand, Mary E.	Email: <a href="mailto:Niki.Conrad@webstercountyia.org">Niki.Conrad@webstercountyia.org</a> Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Phone: 5152058760 Email: <a href="mailto:Whisenand.Mary@gmail.com">Whisenand.Mary@gmail.com</a>
--------------------	--

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
02/09/2023	The Iowa DOE PY23 State Plan Public Hearing notice was posted on January 30, 2023 in the Iowa Weatherization Program website ( <a href="https://humanrights.iowa.gov/dcaa/weatherization">https://humanrights.iowa.gov/dcaa/weatherization</a> ), the Iowa Department of Human Rights Facebook page and Twitter account. Notices were also sent to the Iowa Community Action Association and all Subgrantees, along with a copy of the the proposed plan. The notice is attached to the SF-424. The virtual public hearing was held on February 9, 2023.

**IV.7 Miscellaneous**

Recipient Business Officer:  
William Brand, Division Administrator  
[bill.brand@iowa.gov](mailto:bill.brand@iowa.gov)  
515-281-3268

Recipient Principal Investigator:  
Christine Taylor, Weatherization Bureau Chief  
[christine.taylor@iowa.gov](mailto:christine.taylor@iowa.gov)  
515-281-4565

The Commission for the Division of Community Action Agencies serves as the PAC for Iowa WAP. The commission members are appointed by the Governor of Iowa. There is currently one vacant seat on the commission.

1. Three of the commissioners are elected officials. Those individuals have been identified as such in the PAC list.
2. Three of the commissioners represent low-income. Type of Organization is listed as Other in the PAC list.
3. Three of the commissioners represent private business and industry. Type of Organization is listed as For-Profit or Corporate in the PAC list.

The PAC met on February 9, 2023 to approve the PY2023 Weatherization State Plan. A copy of the minutes from that meeting are attached to the SF-424.

The State of Iowa Weatherization Program is delivered by 16 subgrantees. The numbers associated with each subgrantee in Section IV.1 represents a unique identifier used at the grantee level for contracting purposes.

DCAA projects an average project cost of \$8,250 for program year 2023. The actual average cost (without Health and Safety) for completions in Iowa is \$14,620 with a portion of that paid by other non-DOE funds. Since those funds are subject to change, not guaranteed, DCAA budgets the maximum average allowed by DOE for each of the subgrantees. If those other funds are available, then the DOE-funded average will be lower and additional homes will be completed using DOE funds.

**Weatherization Readiness Fund (WRF)**

DCAA will hold the weatherization readiness funds in a pool for distribution to subgrantees on a case-by-case basis.

Subgrantees will submit an application requesting WRF. The application will include:

- Cause for initial deferral – including photos of deferral issues.
- Description of structure (site-built, manufactured home)
- Year built
- Nature of repairs needed if applicable, identify multiple repairs or remediation reasons for a single building
- Copies of bids

DCAA will review requests and issue contract amendments if approved for the job costs. Completed work will be reported to DCAA through monthly financial reports.

DCAA will collect required information for DOE reporting.

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

Customers on our waiting list are currently prioritized by fuel usage, elderly, disabled and young children. Subgrantees will continue to utilize the current waiting list and request WRF as needed for those homes. Landlords will be required to contribute a percentage of the costs before readiness funds will be used for rental properties. If the landlord is unwilling to contribute, the home will be deferred.

Cost is currently limited to \$15,000 per home and subgrantees are encouraged to use any other available funds to supplement the WRF. Costs exceeding \$15,000 will be covered with other funding sources. Subgrantees understand that WRF work must result in a weatherization completion and that WRF cannot be used in conjunction with Infrastructure funds. DCAA reserves the right to adjust the WRF cost limit per home.

Projects will include but not be limited to:

- Roof repair/replacement
- Foundation repair
- Plumbing repair
- Electrical repair
- Lead and/or asbestos remediation
- Interior wall/ceiling repair
- Floor repair
- Moisture issues including guttering and drainage

Grantee technical monitors will inspect a minimum of 10% of the homes receiving WRF to insure proper use of funds and the home was reported as a completion.

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

Name: **01 Community Opportunities, Inc**

Address: 23751 Hwy 30  
P.O. Box 427  
Carroll, IA 51401-0000

Counties served: GREENE County  
CARROLL County  
DALLAS County  
CRAWFORD County  
GUTHRIE County  
CALHOUN County  
AUDUBON County  
SAC County

Tentative allocation: \$ 228,362.00  
Planned units: 16  
Type of organization: Local agency

Contact: Keith Weber  
UEI: FEC7TK27SNC8  
DUNS: 166933259  
Phone: (712) 792-9266  
Fax: (712) 792-5723  
Email: kweber@newopp.org

Congressional districts served: CD  
IA-03  
IA-04

Source of labor: Contractors

Name: **02 Hawkeye Area Community Action Program**

Address: 1515 Hawkeye Drive  
Hiawatha, IA 52233-0000

Counties served: JOHNSON County  
JACKSON County  
WASHINGTON County  
JONES County  
DUBUQUE County  
IOWA County  
DELAWARE County  
BENTON County  
LINN County

Tentative allocation: \$ 726,849.00  
Planned units: 59  
Type of organization: Local agency

Contact: Dan Rauser  
UEI: CK1MDQAWQ9G5  
DUNS: 039311399  
Phone: (319) 393-7811  
Fax: (319) 393-2793  
Email: drauser@hacap.org

Congressional districts served: CD  
IA-01  
IA-02

Source of labor: Agency and Contractors

Name: **03 Community Action of Eastern Iowa**

Address: 500 E. 59th Street  
Davenport, IA 52807-0000

Counties served: CLINTON County  
MUSCATINE County  
SCOTT County  
CEDAR County

Tentative allocation: \$ 437,497.00  
Planned units: 35  
Type of organization: Local agency

Contact: Tom Wiebenga  
UEI: FJ15KBN81QS6  
DUNS: 078100401  
Phone: (563) 324-3236  
Fax: (563) 324-7736  
Email: twiebenga@caeiowa.org

Congressional districts served: CD  
IA-02

Source of labor: Agency and Contractors



U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

Name: **04 MATURA Action Corporation**

Address: 207 B North Elm St.  
Creston, IA 50801-0000

Counties served: TAYLOR County  
UNION County  
RINGGOLD County  
ADAIR County  
MADISON County  
ADAMS County

Tentative allocation: \$ 104,449.00  
Planned units: 7  
Type of organization: Local agency

Contact: Danna Buls  
UEI: H75EUS5K4U61  
DUNS: 069616266  
Phone: (641) 782-8431  
Fax: (641) 782-6287  
Email: dbuls@maturaia.org

Congressional districts served: CD  
IA-03

Source of labor: Contractors

Name: **05 Mid-Iowa Community Action Agency**

Address: 1001 S 18th Street  
Marshalltown, IA 50158-0000

Counties served: STORY County  
JASPER County  
MARSHALL County  
HARDIN County  
POWESHIEK County  
TAMA County

Tentative allocation: \$ 323,719.00  
Planned units: 24  
Type of organization: Local agency

Contact: Terri Tague  
UEI: ENJVVY1JCNJC3  
DUNS: 107350035  
Phone: (641) 752-7162  
Fax: (641) 752-9724  
Email: ttague@micaonline.org

Congressional districts served: CD  
IA-01  
IA-02  
IA-04

Source of labor: Contractors

Name: **06 Mid-Sioux Opportunity, Inc.**

Address: 418 Marion St  
Remsen, IA 51050-0000

Counties served: SIOUX County  
IDA County  
LYON County  
PLYMOUTH County  
CHEROKEE County

Tentative allocation: \$ 127,786.00  
Planned units: 9  
Type of organization: Local agency

Contact: Julie Colling  
UEI: HH5GAB2EAHC5  
DUNS: 087073268  
Phone: (712) 786-3415  
Fax: (712) 786-3250  
Email: jcolling@midsioux.org

Congressional districts served: CD  
IA-04

Source of labor: Contractors

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

---

Name:	<b>09 Northeast Iowa Community Action Corporation</b>		Contact:	Scott Fischer	
			UEI:	JN9ZJML554M9	
			DUNS:	098025059	
Address:	305 Montgomery		Phone:	(563) 382-8436	
	Decorah, IA 52101-0000		Fax:	(563) 382-9854	
			Email:	sfischer@neicac.org	
Counties served:	HOWARD County	Tentative allocation:	\$ 251,476.00	Congressional	CD
	CHICKASAW County	Planned units:	18	districts served:	IA-01
	FLOYD County	Type of organization:	Local agency		IA-04
	WINNESHIEK County				
	CLAYTON County				
	FAYETTE County				
	BREMER County				
	MITCHELL County				
	ALLAMAKEE County				
		Source of labor:	Agency and Contractors		

---

Name:	<b>11 Operation Threshold</b>		Contact:	Joe Ambrose	
			UEI:	NPHUT8CN44K6	
			DUNS:	078094877	
Address:	1535 Lafayette		Phone:	(319) 291-2065	
	P.O. Box 4120		Fax:	(319) 235-1518	
	Waterloo, IA 50704-0000		Email:	jambrose@operationthreshold.org	
Counties served:	GRUNDY County	Tentative allocation:	\$ 336,156.00	Congressional	CD
	BLACK HAWK County	Planned units:	25	districts served:	IA-04
	BUCHANAN County	Type of organization:	Local agency		IA-01
	BUTLER County				
	FRANKLIN County				
		Source of labor:	Agency and Contractors		

---

Name:	<b>12 IMPACT Community Action Partnership</b>		Contact:	Jen Heitoff	
			UEI:	PF2YNQCKL161	
			DUNS:	163976731	
Address:	3226 University Ave		Phone:	(515) 777-7566	
	Des Moines, IA 50311-0000		Fax:	(515) 273-9833	
			Email:	jheitoff@impactcap.org	
Counties served:	MARION County	Tentative allocation:	\$ 145,911.00	Congressional	CD
	WARREN County	Planned units:	10	districts served:	IA-02
	BOONE County	Type of organization:	Local agency		IA-03
					IA-04
		Source of labor:	Contractors		

---

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

Name: <b>13 South Central Iowa Community Action Program</b>		Contact: Brenda McKnight	
		UEI: U8MGMBASYEG3	
		DUNS: 161917281	
Address: 1711 Osceola Ave, suite 103		Phone: (641) 774-8133	
Chariton, IA 50049-0000		Fax: () -	
		Email: bmcknight@scicap.org	
Counties served:	WAYNE County LUCAS County CLARKE County MONROE County DECATUR County	Tentative allocation: \$ 102,607.00 Planned units: 7 Type of organization: Local agency	Congressional districts served: <u>CD</u> IA-02
		Source of labor: Contractors	
Name: <b>14 Community Action of Southeast Iowa</b>		Contact: Jim Blackwell	
		UEI: MFS1MU9NBEM7	
		DUNS: 094782687	
Address: 2850 Mt. Pleasant Street, Suite 108		Phone: (319) 753-0193	
Burlington, IA 52061-0000		Fax: (319) 753-0887	
		Email: jim.blackwell@caofseia.org	
Counties served:	LOUISA County HENRY County LEE County DES MOINES County	Tentative allocation: \$ 231,131.00 Planned units: 17 Type of organization: Local agency	Congressional districts served: <u>CD</u> IA-02
		Source of labor: Agency and Contractors	
Name: <b>15 Southern Iowa Economic Development</b>		Contact: Jennifer Fleener	
		UEI: K3WSBQKJ5XK3	
		DUNS: 040588170	
Address: 725 W. Second Street		Phone: (641) 682-8741	
P.O. Box 658		Fax: (641) 682-2026	
Ottumwa, IA 52501-0000		Email: jfleener@sieda.org	
Counties served:	DAVIS County VAN BUREN County APPANOOSE County MAHASKA County JEFFERSON County KEOKUK County WAPELLO County	Tentative allocation: \$ 260,146.00 Planned units: 19 Type of organization: Local agency	Congressional districts served: <u>CD</u> IA-02
		Source of labor: Contractors	

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

Name: **16 Upper Des Moines Opportunity, Inc.**

Contact: Kyle Dietrich

UEI: KA5CFKGE28C9

DUNS: 061317236

Address: 101 Robins Ave.

Phone: (712) 859-3885

Graettinger, IA 51342-0000

Fax: (712) 859-3892

Email: kdietrich@udmo.com

Counties served: CLAY County  
OSCEOLA County  
O'BRIEN County  
HANCOCK County  
CERRO GORDO County  
PALO ALTO County  
WORTH County  
EMMET County  
DICKINSON County  
KOSSUTH County  
WRIGHT County  
BUENA VISTA County  
HUMBOLDT County  
WINNEBAGO County  
POCAHONTAS County  
WEBSTER County  
HAMILTON County

Tentative allocation: \$ 460,069.00  
Planned units: 37  
Type of organization: Local agency

Congressional	CD
districts served:	IA-01
	IA-04

Source of labor: Contractors

Name: **17 West Central Community Action**

Contact: Kelly Mahlberg

UEI: GRCPAJLN7JS1

DUNS: 068675354

Address: 1408 A Hwy 44

Phone: (712) 755-5135

P.O. Box 709

Fax: (712) 755-5999

Harlan, IA 51537-0000

Email: kmahlberg@westcca.org

Counties served: MONTGOMERY County  
PAGE County  
HARRISON County  
SHELBY County  
POTTAWATTAMIE County  
FREMONT County  
CASS County  
MILLS County

Tentative allocation: \$ 330,163.00  
Planned units: 25  
Type of organization: Local agency

Congressional	CD
districts served:	IA-03
	IA-04

Source of labor: Contractors

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IA Grant Number: EE0009902 Program Year: 2023

Name: **18 Community Action of Siouxland**

Address: 2700 Leech  
Sioux City, IA 51106-0000

Counties served: WOODBURY County  
MONONA County

Tentative allocation: \$ 226,523.00  
Planned units: 16  
Type of organization: Local agency  
Source of labor: Contractors

Contact: Joe Miller  
UEI: KQMPX37PSCA5  
DUNS: 153551320  
Phone: (712) 274-1610  
Fax: (712) 274-0368  
Email: jmiller@caasiouxland.org

Congressional districts served: CD  
IA-04

Name: **20 Polk County Board of Supervisors**

Address: 5885 N.E. 14th Street  
Des Moines, IA 50313-0000

Counties served: POLK County

Tentative allocation: \$ 613,922.00  
Planned units: 50  
Type of organization: Unit of local government  
Source of labor: Contractors

Contact: Dave Williamson  
UEI: G151JFPWQJE1  
DUNS: 830423872  
Phone: (515) 286-3726  
Fax: (515) 875-5531  
Email: Dave.Williamson@polkcountyiowa.gov

Congressional districts served: CD  
IA-03

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

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

Households with documented income at or below 200% of poverty or who are eligible for assistance under the Low-Income Home Energy Assistance Program are eligible for weatherization services. In addition, households receiving payments under Title IV and XVI of the Social Security Act in the past 12 months or HUD means-tested programs at or below 80% of area median income are also eligible for assistance.

The gross income of all household members residing in the household at the time of application shall be counted to determine eligibility. Household members may only be listed on one application per year. Verification of income is required of all participants before an application is complete with the exception of the income of individuals age 18 and under, employed part-time, are exempt. The name on the application must match the name on the income documentation. This verification may take the form of pay receipts, payroll checks, a statement signed by the employer if the salary is paid in cash, etc. Other evidence, such as copies of unemployment checks may also be accepted. If an applicant refuses to produce proof of income and does not authorize the agency to verify earnings, the applicant shall not be eligible for program benefits. Verification of income will be provided before eligibility may be certified. An applicant may elect to use the most recent 30 days, the last 12 months, or the most recent calendar year as a qualification period. If an applicant is not eligible under the time period first selected, one of the alternative periods may be selected to qualify. The applicant must be informed of the right to select different qualification periods. In an effort to qualify clients for the LIHEAP program, this process was established by LIHEAP and followed by all subgrantees to determine eligibility for both LIHEAP and WAP.

Approximately 163,557 households in the state of Iowa are at or below 200% of poverty.

Additional priorities are given to households with elderly, disabled, young children and high energy costs. These are further described in Section V.3.

Describe what household eligibility basis will be used in the Program

The definition of 'low-income' that Iowa uses to determine eligibility for the Iowa Weatherization Program complies with 10 CFR 440.22. Program eligibility is based on total household income at, or below, 200 percent of the poverty level, as established by the Office of Management (OMB), households receiving assistance under the Low-Income Home Energy Assistance Program, households receiving payments under Title IV and XVI of the Social Security Act in the past 12 months and households receiving assistance from HUD means-tested program at or below 80% of area median income. Persons who are eligible for the LIHEAP program are automatically approved for the Weatherization Program. Persons may also apply for Weatherization Program assistance without applying for LIHEAP assistance; however, these persons will still be required to complete the eligibility process used for the LIHEAP program.

Application dates are checked before any weatherization work begins. If the application is more than 12 months old, the household is advised that a new application is needed before weatherization services can be provided. Copies of approved client applications are included in customer weatherization files.

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

To ensure the the applicant is a US citizen proof of Social Security Number (SSN) are required for all household members. Those members without proper documentation will not be included as a household member, but the income earned by that person will be included in the total household income.

If the applicant is a temporary foreign national not authorized for employment, verification of a Social Security number may be waived. However, they must present their I-94 card so the Iowa LIHEAP program can record the USCIS number in lieu of the SSN. The USCIS numbers is also known as the alien number (a 9-digit number). The USCIS number might have eight digits, in which case a 0 is placed at the front. This applies to all household members in this category, regardless of age.

Copies of such verification must be included in every file. If the applicant household has provided acceptable documentation in the previous year, this requirement is waived. However, if the household has gained a member since their last application, documentation is required. In order to be fair to households with newborns, the requirement for a Social Security Number for that child is waived, as long as the child is 120 days old, or younger, at the time of application. A copy of the birth certificate is included in the LIHEAP application file.

These are the requirements of the LIHEAP Program in Iowa, which comply with the HHS requirements found at: <http://aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml#sec1>

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

Procedures to determine that units weatherized have eligibility documentation

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

No dwelling unit will be weatherized without documentation that the dwelling unit is an eligible unit, as defined by 10 CFR 440.22. The local subgrantees verify applicants' income during the application process. Subgrantees are required to maintain records that include documentation of customer eligibility. The local subgrantees maintain records of previously weatherized dwelling units in a database. The database is checked prior to scheduling a household for service to ensure that the home has not been previously weatherized. If the home has been previously weatherized and is not eligible for re-weatherization, as defined in 10 CFR 440.18, the house will not be weatherized. If the home is eligible for re-weatherization, the subgrantee makes a determination whether or not to re-weatherize the home based on a number of factors including the energy usage of the home and the number of eligible households on the waiting list.

Dwellings are not eligible for re-weatherization if completed in the past 15 years

Property ownership is verified and documented by using the County Assessors website. Search results showing ownership of each home are maintained in household files.

All household files will contain the required documentation to show eligibility including: Approved customer applications, Landlord Agreements (if applicable), SHPO documentation indicating age of home, etc. Income documentation for renters meets the same requirement as owner-occupied units. That documentation is established through the LIHEAP intake process.

**Describe Reweathering compliance**

The local subgrantees maintain records of dwelling units previously weatherized with any source of federal funds. This data contains homes weatherized between 1979 and the current year. The data is checked prior to scheduling a household for service to ensure that the home has not been weatherized in the past 15 years. If the home has been previously weatherized and is not eligible for re-weatherization, the home will not be re-weatherized.

Dwellings are not eligible for re-weatherization if completed within the past 15 years. If the home is eligible for re-weatherization, the subgrantee makes a determination whether or not to re-weatherize the home based on a number of factors including the energy usage of the home and the number of eligible households on the waiting list.

If the President or the Governor of the State of Iowa declares a Federal or State Emergency for areas of the state due to a natural disaster, the grantee will allow local agencies within those affected areas to use existing resources to address the needs of the people in the area. DOE funds will NOT be used to re-weatherization these homes if they were weatherized in the past 15 years. In declared disaster areas, homes weatherized within the past 15 years may be eligible for re-weatherization using other sources of funds.

**Describe what structures are eligible for weatherization**

All eligible households are considered for weatherization services regardless of type of building structure. Customer selection for service is based on a point system calculated using an estimate of annual customer bill savings for heating, water heating and air conditioning measures. This system is applied by the subgrantees to all eligible applicants within a county to establish a prioritized waiting list.

Structures without a physical mailing address, such as non-stationary campers or trailers, are not considered as eligible for weatherization.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer.

Dwellings attached to a business (apartments above a business) will be eligible for weatherization if the dwelling can be isolated from the business and it has a separate heating system.

Eligible multi-unit dwellings (5 or more units per building structure) will only be weatherized with approval from the DOE Project Officer. All eligible customers in multi-unit dwellings must be high on the local prioritized waiting list before the structure will be considered for weatherization.

The current SHPO agreement was reviewed for necessary changes in August 2020. No changes were necessary, therefore, it was continued through 2030.

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

Rental dwelling units will not be weatherized without first obtaining the written permission of the owner of the dwelling unit, or the owner's agent. If the landlord or agent refuses to sign the written permission, the unit will be deferred.

Rental units will be served in order of priority as determined by the prioritized customer waiting list.

The benefit of services provided to rental units will apply primarily to the tenants residing in the units. In most cases, the tenants will benefit by lowering the monthly heating costs they pay. In cases where the tenant is not directly responsible for heating costs, the tenant will benefit from a warmer and safer dwelling after weatherization services have been provided.

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

When a unit within a multi-unit building (5 or more units) is at the top of the prioritized customer waiting list, the subgrantee will first determine if the building has been determined income-eligible for weatherization by HUD. If it is, it may be completed following all other requirements for weatherization of multi-unit rental dwellings. Weatherization is designed to take place with a whole building as a system approach, so other multi-unit buildings (5 or more units) will be considered if 66% of the residents are income eligible. This allows the entire structure to be weatherized. If the entire multi-unit dwelling is weatherized (i.e. the 'completed home' criteria is met for all the units), all units may be counted as completions.

DCAA does not have an approved audit for multi-unit dwellings (5 or more units) so if this type dwelling comes to the top of the priority waiting list, an outside source will be utilized to provide a DOE-approved energy audit. Required information will be submitted to the DOE Project Officer for approval before weatherization work begins on structures containing 5 or more units.

Smaller multi-unit buildings (2-4 units) which are at the top of the prioritized waiting list will be completed if 66% of the units (50% for duplexes) are income-eligible. These will be audited as individual units using the NEAT audit to determine the cost-effective measures to be completed.

In the case of a vacant rental dwelling, weatherization assistance may be provided if there is assurance that a low-income household will reside in the dwelling within 180 days of the date the weatherization service was completed.

Subgrantees will use an agreement, signed by the owner, which states the following:

- The benefits of weatherization assistance shall accrue primarily to low-income tenants.
- For 12 months after weatherization work has been completed on a dwelling, the tenants in that dwelling will not be subjected to rent increases because of the increased value of dwelling units due solely to weatherization assistance provided under this part.
- No undue or excessive enhancement shall occur to the value of the dwelling units.

In the event of a dispute between the tenant and the landlord regarding the issues listed above, the subgrantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the subgrantee. The use of this agreement will help protect the rights of the tenant.

Subgrantee contracts include the following provision:

*No dwelling unit will be served without prior written approval from the owner or rental agent. The benefits of weatherization assistance shall accrue primarily to the low-income tenants. For a reasonable period of time after weatherization work has been completed on a dwelling, the tenants in that dwelling shall not be subjected to rent increases because of the increased value of the dwelling due solely to weatherization assistance provided under this part. No undue or excessive enhancement shall occur to the value of the dwelling. In the event of a dispute between the tenant and the landlord regarding these issues, the subgrantee shall attempt to resolve the dispute. If the subgrantee is not able to resolve the dispute, the tenant shall be referred to legal aid.*

**Describe the deferral Process**

Although a customer may be eligible for the Weatherization Program, there are situations or conditions where weatherization services should be deferred (i.e. delayed or postponed). Hopefully, the decision to defer weatherization can be made before work, or any significant work begins on a dwelling. However, there are times when work will have begun on a dwelling before one of the situations or conditions is identified. In those cases, the subgrantee should defer doing any additional work.

Deferring work on a dwelling does not mean the dwelling will never be weatherized. If the situation or condition causing the deferral changes, it may be possible to begin or complete the work. For example, a dwelling shouldn't be weatherized if it has a roof that leaks or will likely leak. However, the dwelling can be weatherized later if the roof is replaced or repaired. Another example is a dwelling undergoing remodeling. The dwelling should not be weatherized while it is being remodeled. However, after the remodeling is completed, the dwelling may be weatherized.

**Deferral Notification**

When an agency defers work on a dwelling, it must notify the customer, and the landlord when appropriate, in writing of the reason using the Deferral Documentation Form. A copy of the notification, with documentation justifying the decision to defer services, must be kept in the house file. Subgrantees should attempt to identify all reasons why work is being deferred on a home and notify the customer and/or landlord of all the reasons for deferral and what must be done in order for weatherization work to begin.

Following are reasons weatherization services should be deferred. This list is not intended to be all inclusive:

When a customer:

- Refuses to sign the "Release of Liability Form".
- Moves or dies while weatherization services are being provided. (Weatherization services may be completed with family/landlord approval if the majority of work is done prior to the customer moving/dying.)
- Is uncooperative including, but not limited to:
  - Refusing to allow the installation of top energy efficiency measures or important health and safety measures.
  - Refusing access to parts of home that prevent the energy audit of the home from being performed or prevents important measures from being installed.



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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Refusing to change behavior that can cause health and safety problems (e.g. refusal to discontinue using excessive number of humidifiers).

When a customer, or other occupant in a dwelling:

- Is threatening or physically or verbally abusive.
- Has known health conditions which prohibit the installation of insulation or other materials.
- Is involved in illegal activities.

When a dwelling:

- Is posted as being "For Sale" or is known to be for sale (except homes currently in a housing rehabilitation program).
- Has an cumulative SIR of <1.0.
- Is scheduled for demolition or is in an area slated for development.
- Poses a health or safety hazard to crew workers or contractors. For example: rats, bats, roaches, reptiles, insects, animals or other vermin inappropriately or not properly contained on the premises.
- Is undergoing remodeling or has unfinished areas, which directly affect the weatherization process. Weatherization work may be done when the remodeling is completed.
- Is so full of clutter that a weatherization energy audit or weatherization services cannot be done.
- Is beyond the scope of the program due to major structural deficiencies or is in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner. Examples would be dwellings requiring a new roof or foundation repair or where lead exposure cannot be mitigated with safe work practices.
- One or more health and safety hazards exist that must be corrected by the customer (or landlord) before weatherization services may begin. Examples include, but are not limited to:
  - Severe mold or moisture problems (such as pooling in the crawlspace or standing water in the basement) so severe they cannot be resolved within program limits.
  - The presence of animal feces or raw sewage that prevents weatherization measures from being installed.
  - The presence of a primary heat source unvented space heater unless the unvented space heater is removed from the dwelling. If the unvented space heater is a secondary heat source it may be left in place if it meets ANSI Z21.11.2 requirements.
  - The presence of disconnected water waste pipes or hazardous electrical wiring.
  - The presence of asbestos, including vermiculite that contains asbestos, that prevents weatherization measures from being installed.
  - When health and safety hazards, including unsafe combustion appliances, could pose a health or safety threat to customers but the weatherization program cannot mitigate the hazards due to expenditure limits or program rule/policy limits.
- When a manufactured home:
  - Has been improperly set. Any installation deficiencies will be repaired by the customer or landlord before starting work. Home must be stabilized in accordance with manufacturer specifications or local authority having jurisdiction.
  - Has a fireplace or heating stove drawing combustion air from inside the dwelling.
  - Has a heating system other than a heating system manufactured for manufacture homes or a sealed combustion high efficiency furnace with modifications per manufacturer's instructions and installed properly to include outside air for combustion.

Number of and reasons for deferrals will be tracked in the statewide database. If a subgrantee is notified that the reason for deferral has been remedied, the subgrantee will determine if the customer needs to reapply and then schedule the home for re-evaluation.

### V.1.3 Definition of Children

Definition of children (below age): **6**

### 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 Native American tribes will receive benefits equivalent to the assistance provided to other low-income persons in the state.

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

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

The Division of Community Action Agencies (DCAA), within the Department of Human Rights, is designated by the Governor to administer the grant from the U.S. Department of Energy for the Weatherization Program. Local subgrantees are selected by the DCAA to administer the program in local areas throughout the state.

It is the intent of the DCAA, as the state grantee, to only consider and contract with subgrantees that have the capacity to meet the needs of the local areas they serve. The Code of Federal Regulations, 10 CFR, Part 440, requires states to give preference to Community Action Agencies and other non-profit entities when selecting subgrantees to administer local weatherization programs.

The basis for selecting the Iowa Weatherization Program's subgrantees includes consideration of the following:

- The subgrantee's experience and performance in administering a weatherization program
- The subgrantee's experience in assisting low-income persons in areas to be served
- The subgrantee's capacity to operate an effective weatherization program.

In selecting subgrantees each year, the state gives priority to the subgrantees that currently administer the program in the local areas because these subgrantees have the vehicles, equipment, and trained staff needed to deliver the services. They also have extensive experience in delivering weatherization services. However, prior to selecting current subgrantees to administer the program for the new year, the state reviews the results of subgrantee monitoring reviews and considers other performance factors in determining whether each current subgrantee is operating an effective program.

The Iowa Weatherization Program contracts with sixteen (16) subgrantees to provide weatherization service to customers in all counties of the state. Fifteen (15) subgrantees are Community Action Agencies. The other subgrantee is a unit of local government.

Service areas are based largely on the Community Action Agencies' (CAA's) historical geographical boundaries. This enables the CAA's to use their existing outreach structure to inform low-income persons about the program and to take applications. The State of Iowa reserves the right to re-designate weatherization service areas.

The State of Iowa also reserves the right to operate the weatherization program in the service area of a defunded subgrantee, if, in the opinion of the program administrator, the subgrantee is not meeting the needs of the customers in that area. In the event a subgrantee elects to discontinue participation or is subject to defunding of its weatherization program, the state will use an alternate subgrantee(s) to temporarily provide weatherization service in the service area of that subgrantee. The alternate subgrantee(s) would administer the program until a new subgrantee for that service area is selected by the state through a request for proposal process. If the alternate subgrantee(s) wish to permanently serve the expanded area, they will be required to submit a simple plan of service to the new area. The purpose of the alternate subgrantee is to minimize disruption in the delivery of weatherization service in the service area of a current subgrantee that is defunded or discontinues administering the program. All 16 subgrantees have requested to be considered alternate subgrantees. If an alternate subgrantee were needed, the following considerations would be used in making the selection:

- Capacity of deliver the service
- Quality of work
- Geographical proximity to the service area

### V.3 Priorities

Iowa uses the five DOE priority categories. The category High Energy Burden is defined as households eligible for LIHEAP. Therefore, the LIHEAP customer list becomes the WAP waiting list each year. Customer ineligible for LIHEAP, but who applied for the program, are also included in the data received from LIHEAP. Other customers, who did not apply for LIHEAP, may make application for weatherization at any time during the year and be placed on the waiting list. Priority for those on the list is given to households with the highest energy usage (greatest potential for savings). Customer selection for service is based on a point system based on an estimate of annual customer bill savings for heating, water heating, and air conditioning measures. Additional points are given if any household members are elderly, disabled, or young children.

A household's customer point total will be increased by 5 percent for each of the following situations:

- The household is occupied by an elderly person
- The household is occupied by a person with disabilities
- The household is occupied by a young child

Note: A household's priority point total could be increased by 15 percent if each of the situations listed above exists.

Customers may, at any time, request a recalculation of their priority point total.

Customer priority is implemented on a per county basis. Customers will be served in order beginning with those customers with the highest customer points, including increases for elderly, disabled, and children. Any waiver from the point system may be made for the following reason only. Customers who are customers of utilities that are co-funding weatherization, or customers who are eligible for other funding sources which can be used in conjunction with regular weatherization program funds

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

to pay for non-energy-related health and safety and repair work (e.g. furnace repair/replacement, wiring or roof repair, asbestos abatement, etc.) may be served ahead of customers with higher points, if, by doing so, regular program funds (i.e. DOE or HEAP) can be spread further, thus allowing the subgrantee to serve more customers.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer. Shelters are excluded from the priority point system.

#### V.4 Climatic Conditions

The climatic conditions in Iowa range from an average low of 5,858 heating degree days in the southeast portion of the state to a high of 7,222 heating degree days in the north portion of the state using a base of 65° F. The heating degree-days statewide average is 6,571. The average heating degree-days in each area served by each weatherization subgrantee is shown below.

Iowa uses the NEAT/MHEA Audit to determine cost-effective measures to install in eligible dwellings. The NEAT/MHEA Audit considers heating degree-days in its analysis of costs-effectiveness. The higher the degree-days, the more cost-effective a measure or group of measures may be, if other factors remain constant. Each subgrantee uses the heating degree-day data provided with the NEAT/MHEA Audit that is most appropriate to its geographical service area.

HDD/CDD data is from AccuWeather. The HDD/CDD 15-year average (2008 - 2022) for each subgrantee was calculated by summing the data for county weather site for each subgrantee area and then calculating the average of that number.

Agency	HDD Average	CDD Average
New Opportunities	6712	1203
HACAP	6394	911
Eastern Iowa	6437	1039
MATURA	6384	1033
MICA	6989	920
Mid Sioux	7156	1018
Northeast Iowa	7211	779
Threshold	7046	945
IMPACT	6088	1304
SCICAP	6044	1160
Southeast Iowa	5858	1267
Sieda	6252	1084
Upper Des Moines	7222	975
West Central	6452	1106
Siouxland	6796	1088
Polk County	6088	1304
State Averages	6571	1071

Iowa does not currently consider cooling measures for weatherization, but continues to explore the need to include cooling measures in the the program.

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

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

The State of Iowa Weatherization Program utilizes several different technical and procedural manuals. They include:

- *Iowa Weatherization Policies and Procedures Manual* - last updated 2023
- *Iowa Weatherization Work Standards* - last updated 2021 (copy in the Document Library)
- *Iowa Weatherization Retrofitting Guide* - new for PY 2023
- *Iowa Weatherization General Appendix* - last updated 2023
- *NEAT Audit Manual* - last updated 2023
- *MHEA Audit Manual* - last updated 2023

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Various State Program Notices - issued as needed.

The current *Iowa Weatherization Work Standards*, along with Variance Requests, were approved by DOE in 2021. There have been no substantial changes since that time.

Subgrantee contracts include the following language:

*By affixing a signature to this contract, the contractor acknowledges receipt of the items listed in this section. The contractor also acknowledges responsibility to perform in a satisfactory manner, as determined by the DCAA, the activities and services authorized by this agreement in accordance with the most current version of these documents:*

- *Contract,*
- *Iowa Weatherization Program Policies and Procedures Manual,*
- *Iowa Weatherization Work Standards (which reflects SWS requirements),*
- *Iowa Weatherization Retrofitting Guide*
- *Iowa Weatherization General Appendix,*
- *Weatherization Program Notices,*
- *DCAA directives, and*
- *Federal, state, and local laws and regulations*

This language assures the grantee that subgrantees are in receipt of and responsible for all the required work. Subgrantee contracts with private contractors are required to contain the following language:

*In addition, Contractors must be able to demonstrate, that they are qualified to perform the necessary work described in the Iowa Weatherization Bureau's Weatherization Work Standards (which reflects SWS requirements), and in this Contract and subsequent attachments.*

*By signing the end of this document, the Contractor agrees to comply with the following:*

- *Equal Employment Opportunity and Affirmative Action requirements as described in Executive Order 11246*
- *Copeland "Anti-Kickback" Act (Noncollusion Affidavit Statement) (40 USC 276c and 18 USC 874)*
- *Federal Fair Labor Standards Act (29 USC Chapter 8)*
- *Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)*
- *U.S. Department of Energy's material standards as described in 10 CFR 440, Appendix A*
- *Iowa Weatherization Program Work Standards (which reflects SWS requirements)*
- *Iowa Weatherization Retrofitting Guide*
- *OSHA Safe Work Practices*
- *All other related manuals*

*The Contractor also agrees to comply with all applicable federal, state, and local laws, codes, and ordinances; and all other conditions of provisions set within this agreement. The Contractor is responsible for following state/federal guidelines regarding lead paint notification and reporting.*

All of these manuals and notices are distributed to subgrantees and made available to subgrantees and grantee staff online.

Other items made available online to subgrantees include but are not limited to:

- Annual subgrantee contracts
- SHPO requirements
- Lead safe renovation requirements
- Licensing requirements for professionals (HVAC, electricians, plumbers, etc.)
- All forms required for customer files
- Templates for contracting labor and materials at the subgrantee level

Compliance with these assure work is being performed in accordance with the NEAT or MHEA energy audit and that materials meet all requirements set down in Appendix A.

The Iowa Weatherization Program also utilizes a software packages for ASHRAE 62.2 (most current version) calculations. REDCalc is from Residential Energy Dynamics.

Other manuals available to grantee and subgrantee staff include instructions on use of the Weatherization Automated Management System (WAMS). This system is used at the subgrantee level to track and report customers, work in process and completed work. It is used at the grantee level to review customer completions, demographics of customers, and financial reports.

All weatherization measures completed comply with Section 2.6 of WPN 22-1. Any measures that fall outside that list will be submitted for NEPA review before

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

(Grant Number: EE0009902, State: IA, Program Year: 2023)

completing.

Field guide types approval dates

Single-Family: 9/3/2021  
Manufactured Housing: 9/3/2021  
Multi-Family:

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family  
Audit Name: NEAT  
Approval Date: 5/31/2018

Audit Procedure: Manufactured Housing  
Audit Name: MHEA  
Approval Date: 5/31/2018

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

Comments

The NEAT/MHEA Audit is used to determine the most cost-effective measures to install. An energy audit is performed on every single-family dwelling/unit that is weatherized. Energy costs used in the energy audit are updated annually. Six (6) weather-data locations are used in the energy audit. Each subgrantee uses the weather data from the location nearest to its' service area.

Iowa currently uses NEAT/MHEA version 8.9. All subgrantees will transition to NEAT/MHEA version 10 as soon as it is available.

WPN 19-4 requires that grantees submit energy audit approval requests at least 6 months in advance of the expiration date. The Iowa WAP intends to comply with this requirement.

Iowa's NEAT/MHEA Audit was approved 05/31/2018 and is due for renewal. The renewal request was submitted in January 2023.

**Multi-Unit Dwellings (dwellings containing 5 or more units):**

Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. In PY2022 there were no multi-unit dwellings weatherized. If a multi-unit dwelling is at the top of the prioritized waiting list, an outside contractor will be utilized to perform a DOE-approved audit on the structure. Multi-unit projects will be submitted to the DOE Project Officer prior to weatherization as specified in WPN 19-4 Section 1.

**V.5.3 Final Inspection**

The subgrantee final inspection must be completed by a certified Quality Control Inspector (QCI). Subgrantees are required to maintain proof of staff QCI certification. This must be made available to grantee staff upon request and will be checked against the online list at the BPI website.

If the subgrantee does not have a QCI on staff, it will arrange to utilize certified staff from neighboring agencies or contract with a private QCI. Subgrantee staff will continue to work toward QCI certification as needed.

Before reporting a unit as complete, each subgrantee is required to conduct a QCI final inspection using criteria that align with the quality specifications outlined in Section 1 of WPN 22-4 to ensure the following:

- Ensure the initial energy audit was adequate in identifying measures to be completed on the home. This includes identifying opportunities for saving energy that were missed in the initial energy audit.
- Complete health and safety diagnostics.

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Ensure the work called for by the energy audit and the NEAT/MHEA Audit was done, including both health and safety and energy efficiency work.
- Ensure the work performed is in accordance with the *Iowa Weatherization Program Policies and Procedures Manual*, *Iowa Weatherization Program Work Standards*, and the NEAT/MHEA Audit recommended measures.
- Ensure the materials used, other than for health and safety, repair, and/or utility-funded measures, meet or exceed Federal specifications as described in the most current version of 10 CFR 440, Appendix A, "Standards for Weatherization Materials".
- Ensure all materials were installed according to the National Uniform Building Code, International Residential Code, local building codes, the *Iowa Weatherization Program Work Standards* and the *Iowa Weatherization Retrofitting Guide* (reflecting SWS requirements).
- Ensure the work is complete and is of high quality.
- Ensure the materials charged to the home were applied to or installed in the home.

Subgrantee QCIs must sign and date each final inspection form certifying that the factors listed above were met. The final inspection forms must be filed in the customer (home) file. Compliance with this requirement is checked during administrative monitoring visits. Subgrantees may not report dwellings as complete until a QCI final inspection of the unit has been performed. Grantee technical monitoring reports must also be filed in the customer (home) file.

If grantee monitoring of a subgrantee shows consistent poor quality work, the subgrantee will be required to complete additional training in weak areas and will be subject to additional grantee monitoring. Results of monitoring will be analyzed for individual QCI patterns. If patterns are found, additional units inspected by those QCI may be monitored by the grantee. Subgrantees may be required to submit a Corrective Work Plan with a timeline for meeting requirements, which will be monitored frequently for progress. Failure to make needed program improvements may result in the grantee inspecting up to 100% of a subgrantee's production until work quality improves. Funding may also be suspended until proper remedies have taken place.

Grantee QCI monitoring will include home file review, review of measures installed, diagnostic testing, visual inspection of work completed, etc. and a field inspection of the work that was done. Copies of grantee monitoring tools are included with the SF-424.

All manuals and notices are distributed to subgrantees via email and made available to subgrantees and grantee staff online.

Subgrantee contracts include the following language:

*By affixing a signature to this contract, the contractor acknowledges receipt of the items listed in this section. The contractor also acknowledges responsibility to perform in a satisfactory manner, as determined by the DCAA, the activities and services authorized by this agreement in accordance with the most current version of these documents:*

- *Contract,*
- *Iowa Weatherization Program's Policies and Procedures Manual,*
- *Iowa Weatherization Work Standards Manual (which reflects SWS requirements),*
- *Iowa Weatherization Retrofitting Guide,*
- *Iowa Weatherization General Appendix,*
- *Weatherization Program Notices,*
- *DCAA directives, and*
- *Federal, state, and local laws and regulations*

This language assures the grantee that subgrantees are in receipt of and responsible for all the required work.

Subgrantee contracts with private contractors are required to contain the following language:

*In addition, Contractors must be able to demonstrate, that they are qualified to perform the necessary work described in the Iowa Weatherization Bureau's Weatherization Work Standards and Iowa Weatherization Retrofitting Guide (which reflects SWS requirements), and in this Contract and subsequent attachments. By signing the end of this document, the Contractor agrees to comply with the following:*

- *Equal Employment Opportunity and Affirmative Action requirements as described in Executive Order 11246*
- *Copeland "Anti-Kickback" Act (Noncollusion Affidavit Statement) (40 USC 276c and 18 USC 874)*
- *Federal Fair Labor Standards Act (29 USC Chapter 8)*
- *Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)*
- *U.S. Department of Energy's material standards as described in 10 CFR 440, Appendix A*
- *Iowa Weatherization Program Work Standards (which reflects SWS requirements)*
- *Iowa Weatherization Retrofitting Guide*
- *OSHA Safe Work Practices*
- *All other related manuals*

*The Contractor also agrees to comply with all applicable federal, state, and local laws, codes, and ordinances; and all other conditions of provisions set within this agreement. The Contractor is responsible for following state/federal guidelines regarding lead paint notification and reporting.*



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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

**Grantee Policy for Subgrantee QCI:**

The grantee will use the DOE-prescribed QCI Policy as described below.

Independent Energy Auditor/QCI: For those subgrantees with only one staff person, they will be allowed to serve as both Energy Auditor and QCI. The Energy Auditor/QCI is not involved in any of the actual work on the home. In those cases, the grantee will monitor a minimum of 10% of the reported completed homes in order to ensure quality work.

Independent QCI: For those subgrantees with more than one staff person conducting home energy audits and inspections, the duties must be separated between staff. The QCI must be totally independent of all other job functions. The grantee will monitor a minimum of 5% of reported completed homes at these subgrantees.

**Grantee Policy for Grantee QCI:**

The grantee will use the DOE-prescribed QCI policy as described below.

If the grantee QCI assisted the subgrantee with the energy audit of a home, a different grantee QCI must conduct the grantee QCI inspection.

**QCI Mentorship Option**

The grantee has established a QCI mentorship model. Individuals working toward QCI certification under the mentorship of a certified QCI may perform work aligned with the QCI Job Task Analysis, including Final Inspections, monitoring, and the collection of field site data and/or conducting reviews of energy models. All work will be reviewed and approved by a certified QCI.

The mentorship program will be allowed for subgrantees on a case-by-case basis. Subgrantees desiring to implement a mentorship program will be required to submit a plan including:

1. Identify the QCI candidate and the QCI mentor.
2. Experience of the QCI candidate toward meeting pre-requisites for certified Energy Auditor and QCI.

Based on the experience of the candidate, a timeline for completing QCI certification will be established.

The QCI candidate will shadow the mentor and then successfully complete at least three inspections with the mentor on-site. The candidate will then be allowed to work independently with all work performed, reviewed and attested by a certified QCI, which includes the printed names, signatures, certification number (for the mentor) and dated by both the mentor and candidate.

**V.6 Weatherization Analysis of Effectiveness**

The grantee, in conjunction with investor-owned utilities, conducts and publishes an annual evaluation of the Iowa Weatherization Program. This subgrantee-specific evaluation includes: energy savings, costs per completion (by measure and overall), energy savings assigned to individual measures, rate of measure installation in completed homes, and other data used to evaluate subgrantees. Energy savings between subgrantees are not usually compared to each other to determine effectiveness because of the wide range of housing types available in the state. Poorer housing stock in the southern part of the state has a greater potential for energy savings than that of northern Iowa where homes are better insulated.

Since the weatherization priority list in Iowa is based on fuel usage (with additional points for elderly, disabled and young children), the requirement for serving underrepresented groups is met. The grantee will be reviewing completed projects to analyze diversity of the clients served.

The grantee also conducts a performance review of each subgrantee to assess each subgrantee's needs, strengths, and weaknesses. The performance assessment consists of the following:

- A review of each subgrantee's fiscal, administrative and program monitoring results
- A monthly review of each subgrantee's financial and data submissions
  - Measure costs are reviewed on all completions
  - Anomalies are reviewed and explained by the subgrantee
- A review of each subgrantee's annual production
- An analysis of each subgrantee's annual energy savings
- A review of each subgrantee's attendance at training sessions and state meetings

The performance assessment is used to determine technical assistance and training needs. If a weakness is evident at multiple subgrantees, the grantee will arrange for training for all subgrantees. If only one subgrantee demonstrates a specific weakness, the grantee will work one-on-one with that subgrantee to correct the issues. The grantee will continue to monitor progress of subgrantees to ensure improvement in all areas.

DCAA utilizes a "Risk Assessment" worksheet for each sub-grantee to track performance goals and monitoring results. This assessment tracks sub-grantee financial

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

audits, monthly reports, key personnel, and monitoring results to assign a risk level. Higher risk sub-grantees will be offered additional technical assistance in any areas of weakness. Additional monitoring will also be scheduled to track sub-grantee improvements. DCAA will review all sub-grantee risk assessments to determine if any patterns exist. If recognized, additional training or clarification of policies will be provided.

## V.7 Health and Safety

The Health and Safety Plan is attached to the SF-424.

Iowa WAP's actual health and safety average expenditure for DOE completions is at 73.37%. The health and safety budget for Iowa is based on 25% of the \$8,250 ACPU. Costs above 25% of the ACPU are paid for by non-DOE funds.

Heating units and water heaters are generally replaced for health and safety reasons because the NEAT/MHEA Audit doesn't call for them to be replaced as an energy conservation measure. Coupled with skyrocketing material and labor costs, Iowa's average health and safety costs are higher than normal.

The grantee developed the H&S Plan for PY 2023 utilizing WPN 22-7, WPN 22-7 Table of Issues.

The State of Iowa Weatherization Program does not allow partial weatherization to count as completed homes. All measures called for by the NEAT/MHEA audit must be completed or the unit cannot be counted as a completion.

Iowa uses ASHRAE-62.2 2016. Subgrantee contracts include the language Iowa will use the version of ASHRAE-62.2 currently adopted by DCAA. This language is in all of our contracts and policies so we can change to a newer version of ASHRAE without changing all of the manuals.

Iowa does not consider air conditioning as a part of any of the weatherization programs.

## V.8 Program Management

### V.8.1 Overview and Organization

The Weatherization Program is administered by the Bureau of Weatherization, which is in the Division of Community Action Agencies (DCAA), a division in the Department of Human Rights (DHR). See attachment to the SF424 for the organization structure of DCAA. The other bureaus in the DCAA are the Bureau of Energy Assistance, which administers the state's LIHEAP Program, and the Bureau of Community Services, which administers the state's Community Services Block Grant. The local subgrantees that administer the LIHEAP Program and CSBG at the local level are, with one exception, the same subgrantees that administer the Weatherization Program at the local level. This allows the three bureaus to coordinate various activities and share information involving the subgrantees. For example, all three programs use one customer application form.

The State of Iowa Weatherization Program utilizes several different technical and procedural manuals. They include:

- *Iowa Weatherization Policies and Procedures Manual*
- *Iowa Weatherization Work Standards*
- *Iowa Weatherization Retrofitting Guide*
- *Iowa Weatherization General Appendix*
- *NEAT Audit Manual*
- *MHEA Audit Manual*
- Various State Program Notices - issued as needed.

The SEP and HUD programs are not administered by the grantee. SEP is administered by Iowa Economic Development Association. HUD is administered by the Iowa Finance Authority.

### V.8.2 Administrative Expenditure Limits

In accordance with 10 CFR 440.18(d), not more than 15 percent of the DOE grant will be used by the grantee and the subgrantees for administration of the DOE funds. Also, not more than 7.5 percent of the grant will be used by the grantee for administration of DOE funds.

The State Energy Efficiency Programs Improvement Act of 1990 permits grantees the option of providing subgrantees who receive grants of less than \$350,000 up to



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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

an additional 5 percent in administrative funds. Every subgrantee has the same core team of administrative personnel and expenses. In order for every subgrantee to meet the cost of the core administrative functions, each of the eligible 12 subgrantees will receive up to 5% additional administrative funds in order to properly administer the program.

### V.8.3 Monitoring Activities

Iowa Weatherization monitoring staff include:

- Technical Monitors
  - Two full-time QCI inspectors on staff
  - If needed, non-DOE funds will be used to meet monitoring requirements
- Administrative Monitors
  - One full-time administrative monitor
  - Primary job is to monitor subgrantees both on-site and desk monitoring
  - If needed, non-DOE funds will be used to meet monitoring requirements
- Fiscal Monitors
  - One full-time WAP budget analyst
  - Additional fiscal monitoring support is provided by Central Administration accounting staff who participate in the full on-site and desk monitoring reviews, which are paid by non-DOE funds
  - In addition to annual full monitoring reviews, the intent is to conduct periodic reviews of sub-grantee trial balance/ledgers against monthly expenditure reports throughout the year.
  - All subgrantee expenditure reports/requests are compared against the associated technical data (measures installed) on a monthly basis prior to approval/payment.
  - If needed, non-DOE funds will be used to meet monitoring requirements

Certificates or training for monitors:

- Technical monitors have the OSHA 30-hour training for Construction, Lead Renovator or Inspector certificate. Technical monitors are also certified Building Analyst (BA) Professionals, certified Energy Auditors (EA), QCI and Healthy Home Evaluator (HHE) Certified. They have attended various industry courses such as training on Manual J, building codes, and will receive continuing education as required to maintain certification. They attend at least one industry conference annually and are members of the WAP Trainers' Consortium.
- Administrative monitors have received training on Iowa Weatherization Policies and Procedures and technical requirements, purchasing guidelines, and 2 CFR part 200 training. They attend at least one industry conference annually.
- Financial monitors have training in accounting and auditing, 2 CFR part 200 requirements, 10 CFR Part 600 requirements, and *Iowa Weatherization Policies and Procedures*.

Monitoring is done to evaluate subgrantee programmatic and fiscal compliance and accountability of installation of weatherization with respect to program rules, regulations, policies and procedures and to ensure quality work with respect to the measures in dwellings. Technical assistance is provided to subgrantees as an integral part of monitoring. The technical monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized. Special emphasis is placed on problem areas noted in previous monitoring reviews or recently implemented program requirements. All agencies are, at a minimum, monitored annually. Additional visits are scheduled as necessary to track on-going issues.

When problems are noted, grantee staff attempt to make recommendations on how to correct the problem. Grantee staff discuss the problem areas directly with the weatherization staff or fiscal staff and/or the subgrantee director and give their recommendations for improvement. The monitors conduct an entrance interview, upon request, and an exit interview with agency staff and the agency director or designee.

If a subgrantee has continuing major issues identified by technical, administrative or fiscal monitoring, it may be determined to be "at-risk". In that case, the subgrantee would be notified in writing of that status and be required to submit, for grantee approval, a Corrective Action Plan outlining identified issues and steps to be taken to rectify the problems. A part of this plan would identify a time frame for all corrective actions to be completed. The subgrantee would also be required to submit, at a minimum, monthly updates on the progress of meeting the details of the Corrective Action Plan. Any at-risk subgrantee would be subject to additional monitoring until all identified issues are eliminated. Subgrantee staff may be required to take additional technical training or be provided one-on-one training by grantee technical staff.

Major findings are tracked to final resolution. The tracking record includes findings, recommended corrective actions, deliverables, due dates, action taken, and final resolution.

A tentative schedule for all monitoring visits is attached to the SF-424.

#### **Technical Quality Assurance Monitoring**

Technical monitoring of completed houses is conducted for all subgrantees during the program year. Inspections will be completed on at least 5 percent (10% for subgrantees where the auditor and QCI are the same person) of the houses completed. Currently all 16 agencies have at least one QCI on staff. Technical monitors

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

will also complete reviews on "in-process" units to ensure the accuracy and quality of the initial audit.

The technical monitors conduct a final inspection of each completed unit using criteria that align with the quality specifications outlined in Section 1 of this WPN 22-4 which includes a review of the quality of the subgrantees' evaluations and inspections as well as the quality of the work that was completed on the house. Each house inspected will be reviewed for compliance with the following:

- Iowa Weatherization Program Standards for completion - meet SWS requirements
- Quality of work
- Missed energy saving opportunities
- Quality of materials
- Appropriateness and allowability of measures installed
- Review of work to ensure no undue enhancements to rental properties
- Client health and safety
- Client satisfaction
- Quality of the final QCI inspection
- Documentation
- NEAT/MHEA Audit results will be monitored to ensure correct use of the audit

Monitoring reports are completed on each house and sent to the subgrantee within 30 work days of the date of the inspection. If the report requires corrective work by the subgrantee, the corrective work must be completed within 45 days of receiving the report. The subgrantee must send a written response to the The grantee documenting that all the corrective work was completed, or reasons why it could not be completed. If serious quality of work problems are found, the grantee may inspect up to 100% of a subgrantee's production until work quality improves. Funding to the subgrantee may also be suspended until proper remedies have taken place.

The technical monitors offer the subgrantees the opportunity to send their staff on some of the housing inspection trips.

Feedback from the monitors about general problem areas is used to develop additional training.

**Monitoring of Administrative Operations**

The monitoring of administrative operations is performed using both on-site and in-house reviews. Limited focused administrative monitoring may also be conducted. Comprehensive monitoring will be conducted at each subgrantee at least annually. Administrative monitoring tools are attached to the SF424.

Monitoring of administrative operations will include, at a minimum, the following:

- Review of client/house and contractor files to ensure compliance with documentation of eligibility and other requirements
- Review of client/house files to ensure units are inspected prior to reported as complete
- Review of client/house files to ensure a completed inspection report is present
- Review of NEAT Audit reports
- Review of required health and safety documentation
- Review of contracts to ensure compliance with requirements
- Review of contractor insurance coverage
- Review of subgrantee weatherization procurement procedures
- Determination of compliance with client priority and client service by county
- Review of timeliness and accuracy of monthly fiscal and data reports
- Review of equipment and inventory
- Review of the procedures for rental properties
- A minimum of 5% of files will be reviewed
- Review of general management and administrative practices
- Review of employee/contractor credentials, training certificates and licensing to assure compliance with requirements.

Grantee monitoring staff will conduct an exit interview with the subgrantee to discuss observations and findings from the on-site review. Written monitoring reports will be sent to the subgrantee within 30 work days of the review being completed. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the program monitoring report requires a response, the subgrantee must respond, in writing, to the grantee within 45 days of receiving the report. A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer describing the problems at the agency. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the grantee to final resolution.

**Monitoring of Financial Operations**

Each monitoring review will be performed using both in-house and on-site reviews. In-house fiscal monitoring consists of reviewing subgrantees' monthly fiscal reports and their most recent annual financial audits. On-site financial monitoring consists of reviewing fiscal operations for compliance with rules and procedures. Each agency is monitored annually. Fiscal monitoring will include, at a minimum, the following:

- Review the financial procedures manual

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Review of procurement procedures
- Review cost allocation plans
- Review the checking account procedures
- Review the use of indirect cost pools
- Verify cash on hand with that reported on financial report
- Verify insurance coverage including liability
- Review and verify a sample of voucher payments
- Review bank statements and journal entries
- Review administrative charges
- Review internal control procedures
- Review of equipment and inventory
- A minimum of 5% of files will be reviewed
- All subgrantee Single Financial Audits are reviewed by fiscal staff

Grantee monitoring staff will conduct an exit interview with the subgrantee to discuss observations and findings from the on-site review. Written fiscal monitoring reports will be sent to the subgrantee within 30 work days of the review. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the fiscal monitoring report requires a response, the subgrantee must respond, in writing, to the grantee within 45 days of receiving the report.

In addition to annual full monitoring reviews conducted by the grantee fiscal monitors as well as one of the central administrative accounting staff, the intent is to do periodic reviews during the year, including ensuring trial balances and ledgers appear to be matching monthly reports. Thorough monthly expenditure reports and funding request reviews include ensuring the data matches what is reported to the grantee (the listing of measures installed on homes).

**In-House Monitoring**

The grantee reviews monthly financial and data reports from the subgrantees to review measures installed, check for unusual charges and other data. The grantee also checks that the subgrantees are on schedule to spend their funds.

**Subgrantee Assessment**

The grantee will review the results of each subgrantees' monitoring reports annually to assess each subgrantee's needs, strengths, and weaknesses. A part of the review process will include a method to track findings and issues from previous monitoring. The assessment will be used to determine future training and technical assistance needs for particular subgrantees or for all subgrantees.

A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the grantee to final resolution.

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

The Grantee believes training and technical assistance (T&TA) play a major role in developing and maintaining a quality weatherization program. Due to the evolutionary and complex nature of residential energy efficiency and the turnover in Subgrantee staff and contractors, training and technical assistance must be provided on an ongoing basis.

The Grantee uses a variety of approaches in providing training and technical assistance to the Subgrantees. Meetings are held to discuss administrative, fiscal, program, and technical issues. Technical training is provided at formal training sessions and onsite. Grantee staff attend the Subgrantee program manager and fiscal officer meetings to discuss program, technical, and fiscal issues. Grantee staff provide technical assistance during onsite monitoring and house inspections. All of these approaches have proven to be effective in providing training and technical assistance to the Subgrantees.

Individual Subgrantee training needs identified by performance monitoring will be met by either one-on-one training or small group sessions targeting those weak areas. These sessions will either be done by inhouse training staff or by bringing in outside trainers to meet the needs of the Subgrantees. The Grantee will also explore the possibility of establishing a training center at a local Subgrantee(s).

Training needs, including those necessary to comply with the health and safety plan, will be met with a combination of DOE and other nonDOE funds.

The Grantee remains proactive in industrywide initiatives, often moving to adopt new initiatives before required.

**Training and Technical Assistance Needs Assessment**

The following methods are used to assess Subgrantee technical assistance and training needs:

- Subgrantees are asked to identify statewide and individual Subgrantee technical and administrative training needs during the annual monitoring visits and group meetings.

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Inhouse and onsite program and fiscal monitoring of the Subgrantees is used to identify administrative, programmatic, and fiscal technical assistance and training needs.
- Onsite inspections of completed homes are used to identify technical training needs.
- Monitoring the productivity of Subgrantees is used to identify agency specific technical or programmatic technical assistance needs.
- Annual evaluations of the Iowa Weatherization Program are used to identify technical training needs.
- A technical needs assessment will be conducted each program year during the grant period to identify needed training. This assessment will be done by the Grantee and may be done in conjunction with the Iowa Community Action Association (ICAA) or another third party. The most recent training and technical needs assessment was done in January 2023 in conjunction with (ICAA).

**Overall Training and Technical Assistance Plan**

The training of Subgrantees is done through Subgrantee specific training and also through regional or statewide training sessions. The Grantee's policy, with respect to technical training, is to be responsible for all training for energy auditors by either providing the training directly or training is provided by an outside trainer(s). The Standard Work Specifications will be incorporated into the training provided to Subgrantee energy auditors and inspectors. The Grantee believes this practice best assures the standardization of weatherization procedures and practices throughout the state.

Subgrantees will be allocated DOE T&TA funds to attend various weatherization related conferences and meetings. The funds will be used for registration, travel, meals, staff salaries and fringe, and lodging to attend. The T&TA funds may also be used to pay for testing fees for those Subgrantee staff attempting to obtain Home Energy Professionals (HEP) certifications. The Grantee also provides Subgrantees with nonDOE funds that can be used for crew/contractor training and to obtain other weatherization related training. These funds will also be used to provide additional training/testing for Energy Auditor (EA)/QCI certification as needed.

The Grantee meets with Subgrantee administrative staff on a regular basis to review programmatic changes and discuss program needs. The Grantee also works with Subgrantee administrative fiscal staff on the program requirements and expectations. Most Subgrantee weatherization programs do not have dedicated fiscal staff but rely on the administrative fiscal department for all financial support. The Grantee trains Subgrantee weatherization staff who work with the reporting system including customer file requirements, data entry, balancing each completion to invoices paid and completing monthly financial reports.

All Grantee and Subgrantee weatherization staff are allowed to and encouraged to take any weatherization related training. Other than the periodic HEP required training, any other training participation is a Subgrantee decision.

The Grantee works closely with new Subgrantees who need to work toward certification. Grantee helps coordinate training with other Subgrantees and help to meet inspection requirements by a QCI. Grantee also works with the Iowa Community Action Association and Subgrantees to work toward establishing recruitment plans for staff and contractors.

**Training – Grantee**

- Administrator Training
  - The WAP program administrator is encouraged to attend trainings and conferences. Examples include:
    - WIPFLI conferences and webinars
    - CAPLAW webinars
    - Iowa Community Action Association (ICAA) Conference (annual)
    - Home Energy Performance (HEP) Regional and National Conferences
    - Energy Out West Conference
    - National Association for State Community Services Programs (NASCSPP) conferences and webinars
    - DOE-sponsored trainings and webinars
- Fiscal Training
  - Fiscal monitors receive on-going training as part of their day-to-day job on the following:
    - 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 10 CFR Part 600, DOE Financial Assistance Rules
    - *Iowa Weatherization Policies and Procedures Manual*
    - *Iowa Weatherization General Appendix*
    - State and local requirements and guidance
  - Fiscal monitors have access to the:
    - *Iowa Weatherization Policies and Procedures Manual*
    - *Iowa Weatherization Work Standards Manual*
    - *Iowa Weatherization Retrofitting Guide*
    - *Iowa Weatherization General Appendix*
    - *Weatherization Automated Management System (WAMS) Instruction Manual*
    - Written correspondence from the Bureau of Weatherization
    - Written correspondence from the DOE and partners, as applicable
  - Fiscal monitors are encouraged to attend trainings and conferences. Examples include:
    - WIPFLI conferences and webinars
    - CAPLAW webinars

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Iowa Community Action Association (ICAA) Conference (annual)
- NASCSP Conference and webinars
- DOE-sponsored trainings and webinars
- DOE issued Program Notices, Memorandums and other guidance
- Programmatic Monitor Training
  - Programmatic monitors assist in revising the following documents on an annual basis and therefore receive on-going training on:
    - *Iowa Weatherization Policies and Procedures Manual*
    - *Iowa Weatherization Work Standards Manual*
    - *Iowa Weatherization General Appendix*
    - *Weatherization Automated Management System (WAMS) Instruction Manual*
    - Written correspondence from the Bureau of Weatherization
    - DOE issued Program Notices, Memorandums and other guidance
    - 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 10 CFR Part 600, DOE Financial Assistance Rules
  - Programmatic monitors have access to:
    - Grantee QCI field inspection reports and correspondence with Subgrantees
    - Fiscal reports and spreadsheets
  - Programmatic monitors are encouraged to attend trainings and conferences. Examples include:
    - ICAA Conference (annual)
    - HEP Regional and National Conferences
    - Energy Out West Conference
    - WIPFLI conferences and webinars
    - DOE-sponsored trainings and webinars
- Technical Monitor Training
  - Grantee technical monitors assist in revising the following documents on an annual basis and there received on-going training on the:
    - *Iowa Weatherization Policies and Procedures Manual*
    - *Iowa Weatherization Work Standards Manual*
    - *Iowa Weatherization General Appendix*
    - *Weatherization Automated Management System (WAMS) Instruction Manual*
    - Written correspondence from the Bureau of Weatherization
    - Written correspondence from the DOE and partners, as applicable
  - Grantee technical monitors have access to:
    - Administrative programmatic monitoring reports and correspondence with Subgrantees
    - Fiscal reports and spreadsheets
  - Grantee technical monitors are encouraged to attend trainings and conferences. Examples include:
    - ICAA Conference (annual)
    - HEP Regional and National Conferences
    - Energy Out West Conference
    - DOE-sponsored trainings and webinars
    - ASHRAE webinars
  - Grantee technical monitors have the required training below. If they do not adhere to this requirement, they will be prohibited from performing grantee QCI activities until such time as they meet the requirement.
    - Lead Renovator Certification
    - QCI Certification

**Training – Subgrantee**

- Administration/Fiscal
  - Specific Training
    - Subgrantee administration and fiscal staff are not required to attend Specific training unless expressly stated. As identified through monitoring, monthly submission of expenditure reports, funding requests, and on-going communication, training will be provided to address weak areas at Subgrantees. These could include administrative training for Subgrantee weatherization office staff, training Subgrantees to use the database properly, etc.
  - Staff is encouraged to attend trainings and conferences. Examples include:
    - WIPFLI conferences and webinars
    - CAPLAW webinars
    - Iowa Community Action Association (ICAA) Conference (annual)
    - NASCSP Conference and webinars
- Energy Auditors/Inspectors
  - The Grantee does not require certification of Subgrantee energy auditors or inspectors prior to hire.

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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

- Required Certifications
  - Lead Safe Renovator Certification
  - Energy Auditor certification, as required to obtain QCI certification
  - QCI certification, as required to perform final inspections on homes
- Specific Training
  - All energy auditors/inspectors are required to have the following Specific Grantee-provided trainings. Subgrantee staff who do not attend Grantee-mandated training when offered, must demonstrate to the Grantee their proficiency in the specific work detail. The classes are offered at least once each program year and are scheduled as needed. The required training is provided one-on-one if needed.
    - Basic Energy Auditor
    - NEAT and MHEA Audit
    - Mold/Moisture/Ventilation/ASHRAE 62.2
    - Advanced Blower Door/Zonal Pressure Diagnostics
    - Furnace/Combustion Health & Safety
  - Trainings may also include:
    - Topics identified during monitoring visits
    - Energy modeling clarifications or concerns
    - Training workers to conduct customer education on, among other things: energy saving strategies, what to expect during the weatherization process, providing the Asbestos in Homes handout anytime materials with presumed asbestos are present in the home along with explaining next steps, and providing and explaining health and safety related customer education
    - Protocol where asbestos may pose a health threat to weatherization workers and customers
    - ASHRAE requirements
    - Lead safe work practices
    - Causes and remedies of mold and moisture issues
    - Other health and safety topics described in the Health & Safety Plan
    - Attending local and national conferences
  - During monitoring and daily correspondence, weak areas may be identified at a Subgrantee. In these cases, one-on-one training will be provided to address the area of concern. The Grantee also provides one-on-one sessions for Subgrantee staff preparing to complete the field test for EA/QCI certification, which helps ensure field staff are maintaining required credentials.
- Comprehensive Training
  - Subgrantee staff performing EA and/or QCI activities are required to obtain Comprehensive training as outlined in WPN 22-4. The Grantee provides Subgrantees with T&TA funds for staff to obtain either EA and/or QCI, as well as refresher courses. Any remaining allocated T&TA funds may be used by Subgrantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences.
- Staff is encouraged to attend trainings and conferences. Examples include:
  - ICAA Conference (annual)
  - HEP Regional and National Conferences
  - Energy Out West Conference
  - NASCSP Conference and webinars
- Crews/Contractors
  - The Grantee does not require certification of Subgrantee crews or contractors prior to hire.
  - Subgrantee crews and contractors are required to provide to the Subgrantee (as applicable for the type of work they perform), the documentation below, which is verified and recorded at least annually during administrative programmatic monitoring. Failure to present the required documentation results in a finding and possible discontinuation of work until said documentation is provided to the Subgrantee.
    - Lead Renovator Certification
    - Lead Firm Certification
    - Appropriate Plumbing & Mechanical Licensure
    - Appropriate Electrical Licensure
  - Specific Training
    - Subgrantees crews and contractors are not required to attend Grantee-provided Specific trainings.
  - Comprehensive Training
    - Subgrantee crews are not required to attend Comprehensive training; however, crew-based Subgrantees will be able to provide Crew Leader and Retrofit Installer training to those individuals. Any remaining allocated T&TA funds may be used by Subgrantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences. Subgrantees determine the need for comprehensive training and are responsible for ensuring required training is obtained, which is monitored by the Grantee.
    - Although Subgrantee contractors are not required to attend Comprehensive training, the Grantee will work with Subgrantees to develop policies which meet all requirements outlined in the application instructions allowing contractors at the Subgrantee level to receive Comprehensive training. If a contractor is interested in the Comprehensive training (usually the Retrofit Installer training), a retention agreement will be required and a reimbursement rate will be negotiated. Once these policies are established, they will be submitted to the DOE Project Officer for approval.

By definition, Comprehensive Training must be administered by, or in cooperation with, a training program that is accredited by a DOE approved accreditation organization for the Job Task Analysis (JTA) being taught. In order to meet this requirement, Subgrantees work with IREC-accredited WAP training centers to provide



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

**(Grant Number: EE0009902, State: IA, Program Year: 2023)**

the training. A nearby IREC-accredited training center provides training in Iowa, which lessens the burden on the Subgrantees. The Grantee is exploring other IREC-accredited WAP training center partnerships as well. ICAA hosts an annual conference at which we anticipate bringing in an IREC-accredited trainer to provide training to Iowa Subgrantees each year throughout the life of the grant.

Annually, Grantee conducts an information training/meeting for all Subgrantee program directors, energy auditors and inspectors to go over program changes including health and safety, standards/field guide and policies.

**Technical Assistance**

Technical assistance is provided to Subgrantees during onsite visits, at Grantee meetings, at Subgrantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins.

Grantee staff meet with new Subgrantee program administrative staff to provide training and review all requirements of the program.

All Subgrantee program staff (including fiscal) are encouraged to take advantage of available conferences and online training opportunities.

Technical assistance, including support for health and safety activities, is provided throughout the year by all Grantee weatherization staff through phone calls and emails with Subgrantees. One-on-one training is provided in-person and remotely via Google Meet, Zoom, or other another platform as appropriate. Should the Grantee weatherization staff need additional input from a third party regarding an issue at-hand, they will connect with resources such as NASCSP, CAPLAW, WIPFLI, DOE, NREL, and Oakridge National Laboratory.

A technical needs assessment will be conducted each program year during the grant period to identify needed training which will be provided to the network. This assessment will be done by the Grantee and may be done in conjunction with the Iowa Community Action Association.

The grantee utilizes a weatherization website as a way of providing technical assistance to the Subgrantees. In addition to containing statewide program information and materials, the website also contains examples of Subgrantee internal management tools that other Subgrantees may want to use.

Feedback from DOE monitoring visits, internal state audits, Grantee monitoring of the Subgrantees, Inspector General reports, American Consumer Satisfaction Index feedback, training feedback from the Subgrantees and partners such as ICAA, and risk assessment reviews from the previous program year will be used to determine if any Subgrantee-specific training is required. The annual evaluation that is conducted for the Iowa Weatherization Program each year which examines energy savings and other valuable data also informs the development of T&TA activities. See Section V.6 for the data evaluated in the annual evaluation.

Grantee staff will also be working with Subgrantees to transition the current energy audit (WA 8.9) to the newest release of WA 10 soon after it is available.

**Customer Education**

Subgrantees provide customer education when they go to customers' homes. Energy education is done by Subgrantees during home energy audits and inspections. Crews/contractors also provide customer education if the opportunity presents itself.

**Subgrantee Productivity and Energy Savings**

The Grantee collects and monitors Subgrantee productivity on a monthly basis. Concerns about productivity with specific Subgrantees are discussed with those Subgrantees. The Grantee conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each Subgrantee. Results of the productivity monitoring and the annual energy savings analysis (see Section V.6) are used to determine Subgranteespecific training and technical assistance needs.

**Effectiveness of Grantee T&TA Activities**

The effectiveness of T&TA activities is determined through feedback on technical training, discussions with program and fiscal monitoring staff, discussions with home inspectors, and feedback from Subgrantees during onsite visits and Grantee meetings.

**QWP Implementation**

Iowa Weatherization has incorporated the SWS requirements into the *Iowa Weatherization Work Standards* and Field Guide.

Subgrantees which do not have a certified inspector on staff, will be required to negotiate with other Subgrantees to use their certified QCI. For Subgrantees without sufficient staff to separate the duties of energy auditor and inspector, Grantee will inspect a minimum of 10% of DOE completions.

Percent of overall trainings

Comprehensive Trainings: 57.0

Specific Trainings: 43.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings: 57.0

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

(Grant Number: EE0009902, State: IA, Program Year: 2023)

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

## V.9 Energy Crisis and Disaster Plan

When an area of the State of Iowa has been declared a disaster by either the Governor of the State or the President, only non-DOE funds may be used to provide disaster relief for weatherization customers. In those cases the following disaster relief plan will be implemented.

In order for a dwelling to be eligible for assistance under this disaster relief plan, it:

- Must be occupied by an eligible household.
- Must be located in a county that has been designated by the Governor or by the President as being a disaster area.
- Must be a habitable structure.
- Was an in-progress unit at the time of the disaster where already installed materials were damaged or destroyed by the disaster or was a unit that was previously weatherized by the program. For purposes of this plan, previously weatherized homes may be re-weatherized without regard to the date of the original weatherization. Disaster assistance is only available for a period of one year after the disaster declaration has been made.
- FEMA funds and/or insurance payments, if available, have been applied to the repair of the dwelling, including the repair or replacement of any materials or mechanical equipment that weatherization funds normally cover.

### Walk Away

Some disaster-affected dwellings may be beyond the scope of the program due to structural integrity issues, extent of damage, health and safety risks or other reasons described in the *Iowa Weatherization Program's Policies and Procedures* manual. Subgrantees may have to walk away from such dwellings or defer assistance until the problems/issues have been addressed.

### Priority Service

Disaster-damaged homes meeting the criteria listed above may be given priority over other eligible dwellings at the discretion of the subgrantee.

### Eligible Activities

All dwellings must have an energy audit performed (NEAT Audit for single family dwellings) to determine which of the following activities are needed.

- Limited clean-up in those areas of the dwelling where weatherization and/or health and safety materials will be installed. Costs for this activity must be entered in the NEAT Audit and included in the NEAT Audit's savings to investment calculation. Clean-up activity will only be allowed if the audit's cumulative savings to investment ratio is 1.0 or greater. Allowable clean-up costs will be charged as Incidental Repairs.
- Removal of previously installed weatherization and/or health and safety materials that are damaged beyond repair, and will be replaced as part of the current activity.
- Installation of weatherization materials called for by the energy audit or allowed by the Iowa Weatherization Program.
- Repair or replacement of mechanical systems and appliances, including but not limited to, heating units, water heaters, and refrigerators.

### Work Quality

All work must be completed according to the *Iowa Weatherization Program's Work Standards*, as well as building, mechanical or other relevant codes. No unit will be counted as complete until all materials are installed in a quality manner and have passed a final inspection by subgrantee staff.

### Coordination with Other Funds

It is expected that weatherization activities will be coordinated with other funded activities to the maximum extent practicable. This will not only help make the most prudent and non-duplicative use of all funds, but will also help to ensure that service to eligible households will be maximized. However, weatherization funds will not be used to supplant other funds such as FEMA and insurance dollars, which must be applied first in renovating disaster-damaged dwellings.

### Costs

Since the work completed in cases of disaster is funded with non-DOE dollars, the ACPU does not apply.

### Tracking/Reporting

Flood-damaged dwellings that are re-weatherized will be reported as completions. Disaster-related completions and expenses will be tracked and reported as disaster-related completions in the Iowa Weatherization Program's reporting system.



# Weatherization Grantee Health and Safety (H&S) Plan- *Optional Template*

Grantee Name

## 1.0 – GENERAL INFORMATION

Additional information that does not fit neatly in one of the other sections of this document.

Enter Additional H&S Information Here

## 2.0 – BUDGETING

Grantees are encouraged to budget H&S costs as a separate category and, thereby, exclude such costs from the Average Cost Per Unit (ACPU) cost limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. H&S costs that 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 Grantee's Department of Energy (DOE)-approved energy audit tool.

Select which option used below.

Separate H&S Budget ☒

Contained in Program Operations ☐

## 3.0 – H&S EXPENDITURE LIMITS

Pursuant to [10 CFR 440.16\(h\)](#), Grantees must establish H&S expenditure limits for their Program and provide justification for those limits by explaining the basis and related historical H&S expenditures. DOE acknowledges that it may be necessary for Grantees to deviate from historical expenditures when certain circumstances arise (e.g., funding source changes).

[10 CFR 440.16\(h\)\(2\)](#) dictates that these limits must be expressed as a percentage of the ACPU. To calculate this percentage, use the following formula:

$$\text{Total Average H\&S Cost per Unit} = \frac{\text{H\&S budget amount}}{\text{Program Operations budget amount}}$$

For example, if the ACPU is \$5,000 and a Grantee's Program expends an average of \$750 per dwelling on energy-related H&S measures, the Total Average H&S Cost per Unit would equal 15 percent. DOE acknowledges that this percentage may vary significantly between Grantees due to different geographical areas and depending upon the availability of other funding sources, resource availability, etc. Low percentages should include a statement of what other funding supports H&S costs, while larger percentages will require greater justification and relevant historical support.

15 percent is not a maximum limit on H&S expenditures. DOE will conduct a secondary level of review on H&S Plans with a Grantee request of more than 15 percent of Program Operations used for H&S purposes. **DOE strongly encourages using the table below in developing justification for the requested H&S budget amount.** In accordance with [10 CFR 440.18\(d\)\(15\)](#), these funds are to be expended by the Program in direct weatherization activities, "of which is necessary before, or because of, installation of weatherization materials." This same section of the regulation excludes the H&S costs from the ACPU limitation if H&S costs are budgeted separately.

DOE recommends reviewing recent budget requests and compare those to actual H&S 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 annual plan.

#### H&S expenditure limits and justification explaining the basis for setting the limits.

The actual H&S average expenditure for DOE completions Iowa is at 73.37%. The budget is based on 25% of the \$8,250 (ACPU).

Note: The Measure Matrix is at the end of the H&S Plan.

Utilizing the spreadsheet embedded below, provide a full list of H&S measures using historical data from your program, including average cost, and frequency rate. If installing more than a single instance of one measure in a unit (e.g. multiple CO alarms), Grantees may aggregate costs so that frequency does not exceed 100%, or enter a justification into the measure column, which explains why that measure has a frequency rate of over 100%. The spreadsheet will auto calculate your expected Total Average H&S Cost per Unit.

Instructions: Double-click icon directly below to open, view and edit Measure Matrix Spreadsheet. Complete the spreadsheet by entering the required information. To save, close the spreadsheet and it will save to this document.



Measure Matrix  
Final.xlsx

## 4.0 – INCIDENTAL REPAIR MEASURES

Any measures that could potentially be identified as H&S, but the Grantee chooses to instead identify and treat those measures as incidental repair measures (IRMs), must be implemented consistently throughout the Grantee's weatherization program. The measure must fit the regulatory definition of an IRM and be cost justified along with the associated energy conservation measure and/or package of measures. [10 CFR 440.3](#) defines Incidental Repairs as, "those repairs necessary for the effective performance or preservation of weatherization materials."

#### H&S measures identified and treated as IRMs within your Program.

Roof repair

Siding repair

Wall & ceiling repair if needed to complete insulation. Wall & ceiling repair will be considered infiltration when needed to stop air flow through interior walls/ceilings

Foundation repair

Roof, gable and soffit vents

## 5.0 – OCCUPANT PRE-EXISTING OR POTENTIAL HEALTH CONDITIONS AND HAZARD IDENTIFICATION AND NOTIFICATION FORM(s)

Grantees must develop a written policy that includes, at a minimum, the following documentation relating to H&S Plan implementation and maintain signed copies in each client file. Each notification must include the occupant(s) (and landlord if applicable) name and address, be signed and dated by the occupant (and landlord if applicable) indicating that they understand and have been informed of their rights and options and signed by the Subgrantee personnel collecting the information.

Required topics are:

- **Occupant Pre-existing or Potential Health Condition Screening**

- Provides documentation that allows occupant(s) to self-report known or suspected health concerns as part of initial application for weatherization, during the energy audit, or other part of the weatherization process as specified. Must minimally contain the following:
  - Any known risks associated with the measures and materials being installed
  - Subgrantee point of contact information for occupant(s)
  - Date of screening
- **Hazard Identification Notification**
  - Provides documentation that the occupant and landlord (if applicable), have been informed of any potential hazards identified during the energy audit or intake process. Must minimally contain the following:
    - Date(s) of the energy audit/assessment and when the occupant(s) (and landlord, if applicable) was informed of a potential H&S issue
    - A clear description of the problem, including any testing results
    - A statement indicating if, or when weatherization could continue

#### **Radon Informed Consent Form**

- Provides documentation that the occupant(s) (and landlord if applicable) have been informed of any potential hazards associated with radon in weatherized dwellings. The form must minimally contain the following:
  - An explanation on the potential small risk of increasing radon levels when building tightness is improved. This is based on the results of the [Buildings Assessment of Radon Reduction Interventions with Energy retrofits Expansion Study \(The BEX Study\)](#)
  - 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.

#### **Procedure for soliciting occupants' health and safety concerns related to components of their homes**

Agencies must use the Release of Liability Form – Release of Liability and Waiver of Claims, the Health and Safety Assessment Findings Forms Part 1 & 2, Health and Safety Notification Form, and Client Home Energy Audit Forms as part of the health and safety assessment.

#### **Procedure for determining whether occupants suffer from health conditions which may be negatively impacted by the act of weatherizing their dwelling**

##### **PRE-EXISTING CONDITIONS:**

Because it is possible weatherization activities could have an adverse effect on an occupant's health, it is important clients provide an "informed consent," consenting to the weatherization activities before they are started. The Release of Liability form is reviewed with the client at the time of initial home assessment. Agencies must inform all clients weatherization activities can release dust and dust-like particles in the air. Occupants with certain health conditions could have those conditions aggravated by the dust and dust-like particles and should be out of the house when insulation is being blown. Health conditions aggravated by dust include:

- Asthma
- Emphysema
- Allergies
- Respiratory problems
- Pregnancy
- Decreased immune function
- Other serious health conditions

It is also recommended infants less than 12 months old should be out of the house when blown insulation or two-part foam is being installed. Persons who leave the dwelling during the insulation process should remain outside the house for the amount of time specified in the manufacturer's instructions.

**Procedure for addressing potential health concerns including pre-existing health conditions when they are identified**

Health and safety problems found during the health and safety assessment will result in the agency taking one of three actions:

1. If the problem will not prevent the dwelling from being weatherized and installing weatherization measures won't exacerbate the problem, the agency can proceed with weatherizing the dwelling but will notify the client of the problem.
2. If the problem must be remedied before weatherization measures can be installed, the agency must determine if the program can remedy the problem or if the client or landlord will have to correct the problem. If the program can remedy the problem, weatherization can proceed once the agency has corrected the problem.
3. In those cases where the client or landlord is responsible for correcting the problem, the agency must ensure the client understands either he/she or the landlord is responsible for correcting the problem before weatherization can begin. The agency must notify the client of the problem regardless of who is responsible for correcting it.

Health and safety testing must also be repeated after weatherization to ensure the activities did not create a health and safety problem in the home. Program funds may be used to conduct the assessment and testing, and to abate certain health and safety problems.

**Location where forms have been uploaded/submitted**

Separate attachment to SF424 ☐

Separate attachment to H&S Plan ☒

## 6.0 – HEALTH AND SAFETY CATEGORIES

*For each of the following H&S categories identified by DOE in the following tables, follow the directions below.*

- Any section that is “Required” below must be explicitly detailed in the H&S Plan regardless of funding source used. If the Grantee checks the box for “Concurrence with DOE Guidance” the contents of the box may be left as it exists or reference the section/location within Grantee Policy and Procedure manual that contains language or insert Grantee specific language. If the “Alternative Guidance” box is checked, the Grantee must provide that alternative guidance in the box.
  - If a Grantee is proposing an alternative action/allowability for a “Required” item, the alternative requires comprehensive explanation of how it meets the intent of the DOE program notice.
  - If a “Required” item/category will not be addressed with any funding source and will always result in deferral, the H&S Plan must state that.
- Any section that is “Allowable” below must be detailed only if DOE WAP funds are used to implement the measures. If the Grantee uses DOE funds for any “Allowable” activities from the Table of Issues then they must be described here in detail, including defining “minor”, “major”, “limited”, “case-by-case”, and “at-risk” if the term is applied. If you only check the box “Allowed with Alternative Funds” then no additional information is required.
- Any section that is “Prohibited” below may not be addressed with DOE WAP H&S funds and does not need to be specifically addressed in the H&S Plan. The Grantee simply needs to check the “Concur with DOE guidance” box and indicate if the condition will result in deferral/referral.
- The Grantee H&S Plan may address additional H&S hazards specific to their program that are not included in the Table of Issues. If a Grantee chooses to include additional measures as DOE WAP funded H&S costs, the H&S Plan must include details pertaining to the measures allowed, testing required, and client education for these specific hazards.
- All required “Testing/Inspection” related items must be documented in the client file to verify completion and results.

## 6.1 – Air-Conditioning, Heating Systems, and Combustion Appliances

### Required Actions

Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input checked="" type="checkbox"/>	Alternative Funds <input type="checkbox"/>	

- Replace, repair, or install primary heating systems when existing primary heating systems are unsafe, inoperable, or nonexistent. No home may be left without a safe primary heating system after weatherization where climate conditions require heating (i.e., all climate zones except zone 1 as defined by ASHRAE). If unable to meet this requirement, deferral is required.
- No DOE-funded weatherization work is permitted if the completed dwelling unit will be heated with an unvented combustion space heater as the primary heat source. The primary heat source must be replaced with a vented unit prior to or by weatherization. The replacement unit must be sized to heat the entire dwelling unit.
- Unsafe secondary units, including space heaters, must be repaired, or removed and disposed of, or deferral is required. Secondary unvented space heaters are considered unsafe if they:
  - are not listed and labeled as meeting ANSI Z21.11.2;
  - have an input rating of more than 40,000 BTU/hour;
  - are in a bedroom and have an input rating of more than 10,000 BTU/hour;
  - are in a bathroom and have an input rating of more than 6,000 BTU/hour;
  - are operating in an unsafe manner (e.g., high carbon monoxide (CO) readings, too close to combustible materials, lack sufficient combustion air volume);
  - or are not permitted by the Authority Having Jurisdiction (AHJ).
- DOE WAP Grantees must comply with the Manufactured Home Construction and Safety Standards which mandates that:
  - All fuel-burning appliances in manufactured homes except: ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning fireplaces and solid fuel-burning stoves, must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the manufactured home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling.
  - All appliances installed by or left in place after weatherization in manufactured homes must meet these standards, including secondary heating sources. If an occupant will not allow the removal of an unsafe combustion appliance from the home, deferral is required.
  - Repair or replace combustion gas venting to ensure proper combustion gas venting to outside the dwelling for all combustion appliances, including but not limited to gas dryers and refrigerators, furnaces, vented space heaters, and water heaters.
- If weatherization installs an appliance that is vented into a masonry chimney, the chimney must be lined in compliance with the International Fuel Gas Code (IFGC) or local AHJ if more stringent.
- Install adequate combustion air for all combustion appliances left after weatherization.
- If permits are required for heating/cooling system work, they must be secured and are a program operation cost if the installation is an ECM or may be included in the H&S cost if installed as a H&S measure.
- If unsafe conditions relating to existing combustion appliances require remediation to safely perform weatherization and cannot be remedied by repair or tuning, replacement is an allowable H&S measure unless prevented by other guidance herein.
- Documentation justifying the replacement with a cost comparison between replacement and repair must be maintained in the client file.

### Allowable Actions

Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>
---	--

If DOE WAP H&S funds are used for any "allowable" actions, detail them here.

Prohibited Actions	
Concur with DOE Guidance <input checked="" type="checkbox"/>	
Using DOE WAP H&S funds for replacement or installation of secondary heat sources is prohibited.	
Required Testing/Inspection	
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Verify that primary heating systems are present, operable, and performing correctly.</li> <li>• Conduct combustion appliance testing and visual inspection of all combustion appliances and their related venting.</li> <li>• Depressurization and spillage testing is required for all Category 1 appliances pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., air or duct sealing, adding exhaust ventilation).</li> <li>• CO testing is required for all combustion appliances, regardless of venting type.</li> <li>• Verify proper clearances for all combustion venting types</li> <li>• Visually inspect the entirety of solid fuel-fired appliance installations (e.g., wood stoves, coal stoves, pellet stoves, fireplaces) including the venting system to ensure it adheres to the applicable code or local authority having jurisdiction. Appliances must be inspected pre- and post-weatherization.</li> <li>• Conduct pre- and post- weatherization worst case CAZ depressurization testing in spaces having a fireplace or woodstove. Since there is no consensus method for verifying safe operation of fireplaces and woodstoves, Grantees can propose testing policies and limits. If the Grantee does not propose a policy and fireplaces or woodstoves are left operational, the vent must meet national or local codes, or the home cannot be weatherized.</li> <li>• Safety inspections related to space heaters, fireplaces, and woodstoves must include, but not be limited to, verification of adequate floor protection, and code-compliant clearances to walls and other combustible materials.</li> </ul>	
Grantee Combustion Testing Action Levels	

### Ambient CO in the dwelling

Zero to eight (8) PPM the audit/inspection may proceed.

- Nine (9) to 35 PPM auditor/inspector must advise client of CO levels and check all possible sources. Open all windows and doors.
- 36 to 69 PPM auditor/inspector must advise client of CO level and turn off all possible sources of CO. Open all windows and doors. After CO returns to acceptable levels, locate the source of the CO and contact appropriate personnel to have repairs completed before proceeding with audit/inspection.
- 70 PPM or greater, auditor/inspector will terminate work immediately and notify client to evacuate the building. Contact local appropriate personnel to remedy situation.

### Ambient Air in CAZ

- If at any time ambient air in CAZ exceeds 35 PPM during combustion testing, abort test and exhaust the CAZ.
- After readings drop to below 9 PPM, retest under natural draft conditions.
- If ambient air remains below 9 PPM under natural conditions, weatherization work may proceed, but the issue must be addressed.
- If the CAZ ambient air exceeds 9 PPM under natural conditions, the problem must be corrected before any other weatherization work begins.

### Combustion Safety Test Action Levels

CO Test Result*	And/Or	Spillage Results	Action
0 – 100 ppm	And	Passes	Proceed with work
0 – 100 ppm	And	Fails at worst case only	Repair the problem or recommend service call
> 100 ppm	And	Passes	<u>Stop Work</u> until system is serviced and problem corrected
> 400 ppm	And	Fails under any condition	<u>Emergency:</u> Shut off fuel to appliance and call for service

*\*CO measurements for undiluted flue gases at steady state*

### Grantee Woodstove & Fireplace inspection/testing policy including actions/limits

Concur with DOE Guidance ☒

Alternative Guidance ☐

Fireplace or woodstove venting that is left operational after weatherization must meet current local or national standards or the home must be deferred.

### Required Occupant Education

Concur with DOE Guidance ☒

Alternative Guidance ☐

- Appropriate use and maintenance of units.
- Provide all paperwork and manuals for any equipment installed by weatherization.
- 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 combustion safety and hazards information including how to recognize depressurization, dangers of CO poisoning, and fire risks associated with combustion appliance use.

## 6.2 – Asbestos (Confirmed and/or Presumed Asbestos Containing Material)



Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input checked="" type="checkbox"/>	Alternative Funds <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>When suspected friable Asbestos Containing Materials (ACM) are present, including vermiculite, assume they contain asbestos and take precautionary measures to prevent disturbing it during the audit and work unless testing determines otherwise.</li> <li>Grantees must have written policy included in their H&amp;S plan for:               <ul style="list-style-type: none"> <li>Identifying and managing suspected ACM that provides for reasonable and necessary precautions to prevent asbestos contamination in the home.</li> <li>Addressing blower door testing where suspected friable ACM is present (as defined by EPA), including vermiculite.</li> </ul> </li> </ul>		
Grantee ACM policy		
<p>1. Homes with insul-brick or slate siding will be presumed to have asbestos.</p> <p>2. EPA and OSHA regulations define asbestos containing materials as material containing 1% or more asbestos. Therefore, if the test results show the vermiculite sample contains less than 1% asbestos, the vermiculite is considered to be non-asbestos containing material and the attic or walls can be insulated.</p>		
Grantee Blower Door Testing Policy When Suspected ACM Exists		
<p>1. A certified Asbestos Inspector may, with client permission, remove a piece of the siding from under a porch or some area that will not be visible to send to a lab for testing. If the test results show less than 1% asbestos, the siding may be removed and the house insulated as usual.</p> <p>If the test results show 1% or more asbestos, the following procedures will be implemented.</p> <ul style="list-style-type: none"> <li>The siding can be removed and replaced by an asbestos abatement contractor who has a current permit from the Iowa Division of Labor.</li> <li>The cost of removal/replacement must be included as an additional cost for wall insulation in the NEAT audit. The individual measure SIR must be <math>\geq 1</math> or the measure is not eligible.</li> <li>A list of qualified contractors for Iowa can be found at the Iowa Workforce Development website <a href="https://www.iowadivisionoflabor.gov/">https://www.iowadivisionoflabor.gov/</a>.</li> <li>If slate or insul-brick need to be drilled in order to vent furnaces, water heaters, or exhaust fans, a licensed abatement contractor must complete the work.</li> <li>This work must be bid out to qualified contractors and contractor files with all required insurance, licenses, permits and trainings, etc. must be maintained by the agency.</li> </ul> <p>2. Vermiculite testing may be completed at laboratories that are accredited by either the National Voluntary Laboratory Accreditation Program (NVLAP) or by the American Industrial Hygiene Association (AIHA) Laboratory Accreditation Industrial Hygiene Program (IHLAP) for the Field Testing (FOT) of polarized Light Microscopy.</p> <ul style="list-style-type: none"> <li>If vermiculite is present, operate the blower door in the pressurization mode.</li> <li>Test vermiculite for presence of asbestos.</li> <li>If test results indicate there is asbestos in the vermiculite:               <ul style="list-style-type: none"> <li>Work required by NEAT that will not disturb vermiculite may be completed.</li> <li>To reduce the risk of moisture, the attic must be properly ventilated (one square foot of venting for every 300 square feet of attic).</li> </ul> </li> <li>If the test results indicate there is no asbestos in the vermiculite complete all work required by NEAT.</li> <li>In all cases, a copy of the test results will be provided to the client and maintained in the file. If the client refuses to receive the test results, defer work on the home.</li> </ul>		
Allowable Actions		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S funds are used for any "allowable" actions, detail them here.		
Prohibited Actions		

Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for general abatement/removal/or replacement of asbestos siding, thermal system insulation (TSI) or Transite, or vermiculite is prohibited.		
<b>Required Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>Visually inspect all surfaces (i.e., walls, floors, ceilings, roofs) for suspected ACM prior to drilling or cutting.</li> <li>Assume asbestos is present in suspect materials unless testing reveals otherwise.</li> </ul>		
<b>Allowable Testing/Inspection</b>		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
<b>Required Occupant Education</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>Formally notify the occupant, and landlord if applicable, in writing: <ul style="list-style-type: none"> <li>of suspected ACMs that are present and what precautions will be taken to ensure the occupants' and workers' safety during weatherization;</li> <li>of results if testing was performed;</li> <li>not to disturb suspected ACM;</li> <li>When deferral is necessary due to asbestos, occupant, or landlord if applicable, must provide documentation that a certified professional performed the remediation before work continues.</li> </ul> </li> </ul>		

6.3 – Biologicals and Unsanitary Conditions		
<b>Required Actions</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
Deferral where conditions (odors, bacteria, raw sewage, rotting wood, etc.) in the home pose a health risk to occupants and/or weatherization workers or may be worsened by weatherization activities (e.g., air sealing) and will not be resolved by weatherization.		
<b>Allowed Actions</b>		
Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>	
If DOE Funds are used for any "allowable" actions, detail them here.		
<b>Required Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input checked="" type="checkbox"/>	Alternative Funds <input type="checkbox"/>	
Any unsanitary conditions, including insect pests, animal or bird feces/carcasses or sewage leakage in the work area must be recorded on the Health & Safety Assessment Findings Form.		
<b>Prohibited Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
DOE WAP H&S funds may not be used for testing of materials for biological contaminants.		
<b>Required Occupant Education</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
Inform occupant in writing of observed biological and unsanitary conditions.		

6.4 – Building Structure and Roofing (e.g., roofing, wall, foundation)
<b>Allowable Actions</b>

Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.			
<b>Prohibited Actions</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>			
Using DOE WAP H&S funds for <i>major</i> repairs as defined by Grantee’s H&S Plan. Using DOE WAP H&S funds for building rehabilitation is prohibited			
<b>Define “major” repairs</b>			
All non-H&S repairs are included in the NEAT audit SIR. Any repair that the audit will not justify with a cumulative SIR of 1 or greater is considered a major repair and is not permitted.			
<b>Required Testing/Inspection</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>	
DOE WAP H&S Funds <input type="checkbox"/>		Alternative Funds <input checked="" type="checkbox"/>	
Visual inspection of building structure and roofing for damages that compromise building durability and to verify that portions of the home where weatherization will occur are safe for entry and performance of assessments, work, and inspections.			
<b>Allowable Testing/Inspection</b>			
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any “allowable” testing, detail them here.			
<b>Prohibited Testing/Inspection</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>			
Using DOE WAP H&S funds for any testing/evaluation of structural materials by a third-party is prohibited.			
<b>Required Occupant Education</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>	
Notify occupant in writing of structurally compromised areas.			

6.5 – Code Compliance			
<b>Allowable Actions</b>			
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.			
<b>Prohibited Actions</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>			
<ul style="list-style-type: none"> <li>Using DOE WAP H&amp;S funds for correction of preexisting code compliance issues not directly related to the installation of specific weatherization measures in the home is prohibited.</li> <li>Using DOE WAP funds for work on condemned properties and properties where H&amp;S conditions exist that cannot be corrected under this guidance is prohibited</li> </ul>			
<b>Required Testing/Inspection</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>	
DOE WAP H&S Funds <input type="checkbox"/>		Alternative Funds <input checked="" type="checkbox"/>	
Visual inspection.			
<b>Allowable Testing/Inspection</b>			
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any “allowable” testing, detail them here.			
<b>Required Occupant Education</b>			
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>	
Inform occupant in writing of observed code compliance issues when it results in a deferral.			

## 6.6 – Electrical

### Required Actions

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds ☐

Alternative Funds ☒

Provide sufficient over-current protection and damming prior to insulating building components containing knob and tube wiring, as required by the AHJ.

### Allowable Actions

Allowed with DOE WAP H&S Funds ☒

Allowed with Alternative Funds ☐

- Fuses and breakers are inspected to ensure they are properly sized.
- If it is determined a hazardous situation exists, the problem must be corrected before weatherization work is started.
- Enclose all wiring splices inside a location-appropriate (e.g. wet-location, outdoor, indoor, etc.) UL listed electrical enclosure per the NEC
- Program funds may be used to correct minor electrical problems but spending must be within the General Health and Safety Repair cost limits.
- A Department of Public Safety appropriately licensed electrical contractor will be used to perform electrical work needed to correct a problem.
- Electrical hazards will be eliminated and inspected in accordance with NFPA 70 National Electric Code.

### Knob & Tube Wiring

- Unless prohibited by local codes, S-type fuses must be installed in homes having knob and tube wiring, to provide over-current protection.
- If S-type fuses will not work because of overloaded circuits, a new service panel must be installed and the house brought up to code, if applicable. Or house must be deferred until service panel is updated.
- Agencies may use General Health and Safety Repair funds (within limits) to complete this work. Weatherization funds may be used from the weatherhead or mast down. Service to the weatherhead is the client's responsibility.

### Manufactured Homes

- Known electrical problems may be corrected within the General Health and Safety Repair program spending limit.
- If manufactured home has aluminum wiring, it must be inspected and determined to be safe by a licensed electrician. Aluminum wiring can be a fire hazard if it is corroded, loose, or exposed. Take special care when working in a manufactured home with this type of wiring.
- Frames of home sections will be bonded with copper wire.
- Bonding lug will be selected to prevent corrosion due to dissimilar metals.
- Homes will have a four-wire service entrance to the panel box to ensure a wiring system that is nominally rated at 120/240 volts and allows for proper grounding.
- Grounding at the service entrance will be checked to determine proper grounding of the home.
- In units that are receiving insulation measures, electrical wiring and the electrical circuit breaker/fuse box must be assessed for adequacy as follows: #12 aluminum or #14 copper wiring must be protected with 15 amp fusing or breakers.
- Care must be taken to ensure the electrical wiring was not damaged during insulation work. This can be done by testing electrical outlets and switches following completion of work.

### Prohibited Actions

Concur with DOE Guidance ☐

Using DOE WAP H&S funds for **major** electrical repairs as defined by the Grantee's H&S plan is prohibited

### Define "major" repairs

Any electrical repair work which exceeds the General Health and Safety Repair fund limit (currently \$1,500) are prohibited

### Required Testing/Inspection

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>
<ul style="list-style-type: none"> <li>Visual inspection for presence and condition of knob-and-tube wiring.</li> <li>Evaluate knob-and-tube wiring for safety prior to work.</li> <li>Check for alterations that may create an electrical hazard.</li> </ul>	
<b>Allowable Testing/Inspection</b>	
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
<b>Required Occupant Education</b>	
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>
<ul style="list-style-type: none"> <li>Provide occupant with written documentation of any electrical hazards identified that will not be addressed by weatherization</li> <li>Provide information to occupant on over-current protection, overloading circuits, and basic electrical safety/risks if conditions warrant.</li> </ul>	

6.7 – Fuel Leaks		
Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input checked="" type="checkbox"/>	Alternative Funds <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>When a gas leak is found on the utility side of service, the utility service must be contacted, work must be temporarily halted, and the leak must be repaired before work may proceed.</li> <li>Fuel leaks that are the responsibility of the occupant (vs. the utility) must be repaired before installing weatherization measures in the home.</li> </ul>		
Allowable Actions		
Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>	
If required, fuel leaks will be repaired and inspected in accordance with the most current IRC adopted by authority having jurisdiction or adopted by the State of Iowa (whichever is stricter).		
Prohibited Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
<ul style="list-style-type: none"> <li>Using DOE WAP H&amp;S funds to repair leaks that are the responsibility of the utility to correct is prohibited.</li> <li>Using DOE WAP H&amp;S funds for environmental cleanup resulting from bulk fuel leaks is prohibited</li> </ul>		
Required Testing/Inspection		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>Test all exposed gas lines, fittings, valves, and connections for fuel leaks from utility connection to the appliance throughout the home.</li> <li>Test all gas appliances for fuel leaks at all connections, valves, fittings, and burners.</li> <li>Conduct sensory inspection of all bulk fuels lines and storage tanks to determine if leaks exist.</li> </ul>		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Prohibited Testing/Inspection		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for environmental testing of soil or water is prohibited.		
Required Occupant Education		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
Inform occupants in writing of fuel leak testing results, including specific location if fuel leaks are detected.		

## 6.8 – Gas Ovens/Stove Tops/Ranges

### Allowable Actions

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.

### Prohibited Actions

Concur with DOE Guidance ☒

Using DOE WAP H&S funds for replacement of gas ovens/ranges/stove tops is prohibited.

### Required Testing/Inspection

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds ☐

Alternative Funds ☒

- Test gas ovens for CO.
- Grantee H&S plan must define action levels and resulting actions.
- Visually inspect cooking burners and ovens for operability and flame quality.

### Define action levels for oven CO testing and resulting actions

1. 100-224 PPM install CO detector and inform the client of the problem. Recommend they have it serviced. Weatherization work may continue.
2. 225 PPM or more, the unit must be serviced by the client prior to weatherization work. Weatherization will be deferred until the oven CO level is addressed and is below 225 PPM

### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any “allowable” testing, detail them here.

### Required Occupant Education

Concur with DOE Guidance ☒

Alternative Guidance ☐

Inform occupants of the importance of using exhaust ventilation when cooking and the importance of keeping burners and broilers clean to limit the production of CO.

## 6.9 – Hazardous Materials

### Required Actions

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds ☐

Alternative Funds ☒

- Hazardous Waste Materials generated by weatherization work (e.g., refrigerant, asbestos, lead, mercury, CFL lighting bulb/ballasts, etc.) must be disposed of according to all local and federal laws, regulations, and guidelines, as applicable. Costs specifically related to disposal may be charged as a H&S expense.
- Subgrantees must document disposal requirements in contract language with the responsible party.
- **Limited** removal of pollutants that pose a risk to workers is required (e.g., flammable liquids, hazardous chemicals, and other air pollutants) as defined the Grantee’s H&S Plan.
- If removal cannot be performed or is not allowed by the occupant, the unit must be deferred.

### Define “limited” removal of pollutants

Inspect the unit to determine whether combustibles or flammable items are around the furnace or gas water heater. If items are within three feet (3’), they need to be removed and the client needs to be notified of this safety problem.

### Allowable Actions

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.

### Prohibited Actions

Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for Lead, Asbestos, and Radon abatement is prohibited.		
<b>Required Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>		Alternative Funds <input checked="" type="checkbox"/>
Sensory inspection.		
<b>Allowable Testing/Inspection</b>		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
<b>Prohibited Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for any testing for hazardous materials other than that specifically permitted in the asbestos, lead, and radon sections of this document is prohibited.		
<b>Required Occupant Education</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Inform occupant in writing of hazards associated with hazardous waste materials being generated/handled in the home.</li> <li>• Inform occupant in writing of observed hazardous condition and associated risks.</li> <li>• Provide occupant written materials on safety issues and proper disposal of household pollutants.</li> </ul>		

## 6.10 - Injury Prevention of Occupants

<b>Allowable Actions</b>		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>
If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.		
<b>Prohibited Actions</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for <i>major</i> repairs, as defined by the Grantee's H&S Plan is prohibited		
<b>Define "major" repairs</b>		
All non-H&S repairs are included in the NEAT audit SIR. Any repair that the audit will not justify with a cumulative SIR of 1 or greater is considered a major repair and is not permitted.		
<b>Required Testing/Inspection</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>		Alternative Funds <input checked="" type="checkbox"/>
Visually inspect for dangers that would prevent weatherization.		
<b>Allowable Testing/Inspection</b>		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>		Allowed with Alternative Funds <input checked="" type="checkbox"/>
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
<b>Required Occupant Education</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>
If identified hazardous conditions will not be corrected during weatherization, inform occupant in writing of observed hazards and associated risks utilizing the "Hazard Identification Notification Form" required by WPN 22-7.		

## 6.11 – Lead-Based Surface Coverings (Paint, Varnishes, Roofing, etc.)

<b>Required Actions</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>		Alternative Funds <input checked="" type="checkbox"/>



- Subgrantees must comply with EPA's Lead; Renovation, Repair and Painting Program (RRP) rules when working in pre-1978 housing unless testing confirms the work area to be lead free. This includes, but is not limited to:
  - Client file documentation including the Certified Renovator's 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.
  - Certification and training requirements of the RRP rule.
  - Job site set up and cleaning verification by a Certified Renovator.
- Only those costs directly associated with lead safe work practices for surfaces directly disturbed during weatherization activities are allowable WAP H&S expenses.

#### Allowable Actions

Allowed with DOE WAP H&S Funds ☒

Allowed with Alternative Funds ☐

- DOE requires all inspectors be Certified Lead Renovators.
- DCAA recommends all energy auditors be Certified Lead Renovators. At a minimum all energy auditors are required to take and pass the lead renovation course.
- DCAA requires all crew supervisors be Certified Lead Renovators. All crew members must take and pass the lead renovator course. DCAA recommends all agency crew members be Certified Lead Renovators.
- DCAA requires all contractors have a Certified Lead Renovator on staff (usually the on-site supervisor). All other contractor employees working on Weatherization Program homes must be certified renovators, pass the 4 or 8 hour renovator course, or receive on-the-job training in lead-safe work practices by the on-site Certified Renovator.
- As a part of the requirements by Iowa Department of Health and Human Services, Bureau of Environmental Health Services, Iowa requires the completed lead reporting forms, including the assurance that Renovate Right is distributed to clients, be in the client files.

#### Prohibited Actions

Concur with DOE Guidance ☒

- Using DOE WAP H&S funds for lead abatement is prohibited.
- Using DOE WAP H&S funds for purchase, resourcing, or maintenance of X-ray Fluorescence (XRF) devices is prohibited.

#### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.

#### Required Occupant Education

Concur with DOE Guidance ☒

Alternative Guidance ☐

Follow pre-renovation education requirements per EPA RRP rules.

## 6.12 – Mold and Moisture

#### Allowable Actions

Allowed with DOE WAP H&S Funds ☒

Allowed with Alternative Funds ☐



### **Plumbing Repair**

- Leaking water pipes and sewer lines may cause moisture problems within the house.
- Minor repairs may be made to water pipes and sewer lines within spending limits, but cleanup of any unsanitary conditions due to plumbing leaks is the sole responsibility of the client.

### **Sump Pumps**

- Sump pumps may be installed to control water in lower levels of the home.
- Sump pumps must be installed to meet manufacturer's instructions and all local codes.
- Interior grading will be sloped to sump pump, if possible.
- Sealed covers must be installed on sump pumps pits as described below
  - All new sump pumps (not replacement pumps) must be installed in a pit designed for that purpose and must be covered with an airtight cover unless installed in a dirt floor.
  - Existing sump pumps in pits designed for that purpose must be covered with an airtight cover manufactured for that purpose, unless installed in a dirt floor.
  - Existing sump pumps in small pits (five gallon buckets for example) do not need a sealed cover.
  - Sump pits with a sealed cover must have a vent pipe extending to outside the thermal boundary.
- SHPO review is required for new sump pit installation where one did not previously exist.

### **Dehumidifiers**

Dehumidifiers may be installed, with client permission, to help control humidity in basements during summer months in homes with existing mold or moisture problems.

- Explain to the client that the dehumidifier might result in an increase in electric usage.
- All moisture source control methods must have been exhausted before installing a dehumidifier.
- Manufacturer specifications will be followed for size and use.
- Dehumidifiers must be ENERGY STAR® rated and installed to drain properly.
  - If a drain does not exist, a dehumidifier may be installed by utilizing a dedicated condensation pump to an existing drain or sewer line.
  - In this case, the dehumidifier must be put up on blocks to allow for proper drainage.
  - If the basement area is divided in separate rooms, drying will be provided to all basement areas.
- Educate the client on proper usage of the dehumidifier including settings and summer/winter use.
- Occupant will be educated on how and when to change filter and clean condensate drain of the dehumidifier in accordance with manufacturer specifications.

### **Site Drainage**

- Poor site drainage is often the reason for wet foundations, basements, crawlspaces, and slabs.
- The ground around the foundation of the house should be sloped away from the house so water runs away from the house and not toward it.
- Ideally, the ground adjacent to the foundation should have a minimum 5% slope away from the house (six inches of fall in the first 10 feet).
- Check for the following site drainage situations:
  - Does the site direct rain and snow melt toward the foundation rather than away from it?
  - Are there depressions in the ground close to the house where water can collect?
  - Are sidewalks or paved driveways sloped so they direct water toward the foundation rather than away from it?
  - Does the house have an effective gutter/downspout system that collects and drains rain water away from the foundations?

### **Gutters and Downspouts**

- Gutters and downspouts can be an important part of solving a site drainage problem.
- Agencies should note if the house has an existing effective gutter/downspout system.
- If the gutter system is in good condition, but is clogged with debris, they may be cleaned by the program if client is physically unable to do the job and all other options (such as family or chore services) have been exhausted.
- The cleaning can only be done at the time of weatherization services and cannot be repeated as needed. See Section 2073.03 for more information on Gutters and Downspouts.

Prohibited Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
<ul style="list-style-type: none"> <li>Using DOE WAP H&amp;S funds for mold cleanup is prohibited.</li> <li>Using DOE WAP H&amp;S funds for window and door replacements is prohibited</li> </ul>		
Required Testing/Inspection		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
Visual assessment for moisture or mold damage including exterior drainage.		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Prohibited Testing/Inspection		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for mold testing of any type is prohibited.		
Required Occupant Education		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
Provide occupant written notification of identified mold/moisture hazards and information regarding the associated hazard.		

6.13 - Occupant Pre-existing or Potential Health Conditions		
Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>When a person's health may be at risk and/or WAP work activities could constitute an H&amp;S hazard, the occupant is required to take appropriate action based on severity of risk.</li> <li>Deferral, if occupant risk cannot be mitigated.</li> </ul>		
Allowable Actions		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.		
Required Testing/Inspection		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>Screen occupants for known or suspected health concerns either as part of initial application for weatherization, during the audit, or both.</li> <li>This is done utilizing the "Occupant Pre-existing or Potential Health Condition Screening Form" required by WPN 22-7.</li> </ul>		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Required Occupant Education		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>Inform occupant in writing of any known risks and provide pre-weatherization screening form.</li> <li>Provide occupant with Subgrantee point of contact information in writing.</li> </ul>		

6.14 – Pests		
Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>

DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>
Deferral of homes where infestation of pests cannot be reasonably removed or poses H&S concern for workers.	
<b>Allowable Actions</b>	
Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>
<b>Pest Control</b> <ul style="list-style-type: none"> <li>Pest removal/extermination is only allowed in cases when weatherization would be deferred otherwise. If pests cannot be reasonably removed, or where removal poses a safety concern for workers, work should be deferred on the house.</li> <li>If necessary, pest and termite treatment will be completed before crawl space upgrade</li> </ul>	
<b>Allowable Testing/Inspection</b>	
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
<b>Required Occupant Education</b>	
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>
Inform occupant in writing of observed conditions and associated risks.	

6.15 – Radon		
Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input checked="" type="checkbox"/>	Alternative Funds <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>Cover exposed dirt floors within the pressure/thermal boundary with a sealed soil gas retarder</li> <li>Cover sump well/pits with airtight covers</li> <li>Implement ventilation as required by ASHRAE 62.2-2016</li> </ul>		
Allowable Actions		
Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>	

### Vapor Barrier

- Debris that may cause injury or puncture ground covers (e.g., nails, glass, sheet metal screws) must be removed from the crawlspace and disposed of properly.
- Ground vapor retarder must be 6-mil thick polyethylene. When seams exist, they will be overlapped a minimum of 12" and sealed using caulk, mastic, or house-wrap tape. The sealant must be compatible with the vapor barrier. See Section 4010
- A vapor barrier, covering 100% of the exposed crawl space floor, will be installed and sealed to the wall's air and moisture barrier. Ground vapor barrier will be fastened to ground to prevent movement in accordance with ASTM E1643 and manufacturer's recommendations.
- The ground vapor retarder should extend up to 6" below the sill plate and be secured, unless two-part foam or rigid foam board is to be used for insulation.
- For wall to floor connection, the wall moisture barrier will be installed under the ground vapor retarder.
- Care must be taken not to tear the polyethylene.
- A minimum expected service life of 10 years will be ensured.

### Sump Pumps

- Sump pumps may be installed to control water in lower levels of the home.
- Sump pumps must be installed to meet manufacturer's instructions and all local codes.
- Interior grading will be sloped to sump pump, if possible.
- Sealed covers must be installed on sump pumps pits as described below
  - All new sump pumps (not replacement pumps) must be installed in a pit designed for that purpose and must be covered with an airtight cover unless installed in a dirt floor.
  - Existing sump pumps in pits designed for that purpose must be covered with an airtight cover manufactured for that purpose, unless installed in a dirt floor.
  - Existing sump pumps in small pits (five-gallon buckets for example) do not need a sealed cover.
  - Sump pits with a sealed cover must have a vent pipe extending to outside the thermal boundary.

### ASHRAE

- ASHRAE 62.2-2016 is required on every home.
- The most recently adopted ASHRAE 62.2 will be used when determining ventilation requirements.

#### Prohibited Actions

Concur with DOE Guidance ☒

Using DOE WAP H&S funds for radon mitigation is prohibited.

#### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.

#### Required Occupant Education

Concur with DOE Guidance ☒

Alternative Guidance ☐

- Provide all occupants EPA's A Citizen's Guide to Radon and inform them of radon related risks.
- Occupants must sign an informed consent form prior to receiving weatherization services.

## 6.16 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers

#### Required Actions

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds ☒

Alternative Funds ☐

Install CO alarms in every home where alarms are not present or are inoperable in compliance with ASHRAE 62.2-2016 which references NFPA 720 (note: NFPA 720 has been incorporated into NFPA 72).

#### Allowable Actions

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☐

### CO Alarms

- Carbon monoxide alarms are to be installed between 4' and 6' from the floor.
- CO alarms installed by the program must have internal non-replaceable batteries.
- When installing new alarms, old existing alarms in the same area must be removed
- Do not install the alarm in the following areas:
  - Near bathrooms or in shower areas
  - In closets
  - Crawlspace or unheated areas where extreme hot or cold temperatures occur
  - Within five feet of fuel burning appliances
  - Close to adjacent walls or in corners
  - Near bathtubs or basins
  - Directly above or below return air registers
  - Behind drapes, furniture, or other objects that could block air-flow to the CO alarm
- Alarms must meet UL2034 standards. Alarms should be warranted for a minimum of TEN (10) years.
- Installed alarms must be labeled with the expiration date, as warranted by the manufacturer, written on the front of the mounting plate or back side of alarm in permanent ink or on the label provided on the alarm.

### Smoke Alarms

- Every house must have working smoke alarms on each level. Alarms may be purchased and installed using program funds. Alarms must be installed as required by local codes for single family residences.
- If a home is determined to be incomplete, at the time of audit, smoke alarms can be installed and paid for with program funds.
- Areas that alarms should be installed:
  - Install on basement ceiling level near basement stairs
  - Install within 15 feet of rooms used for sleeping purposes
  - Install on hall ceiling or wall centered as possible between bedrooms
  - Install in rooms having a space heater
  - Avoid placement near kitchen stoves or bathroom showers
  - Exclude unoccupied attics

### Propane Alarms

- Propane alarms are required by weatherization in all houses using propane.
- Manufactured homes are exempt from this rule.
- There are different types of propane gas alarms – some are just alarms which sound when a leak is detected, others actually shut down the flow of gas into the house. The weatherization program will pay for propane alarms that detect the leak.
- All propane alarms must be connected to electricity, an outlet must be installed if necessary.
- Alarms are to be installed according to the manufacturer's instructions and meet the proper UL listing.
- LP alarms must be installed near the furnace or other propane appliances within 12 - 24" of the floor.

#### Prohibited Actions

Concur with DOE Guidance ☒

Using DOE WAP H&S funds for replacement of functional smoke or CO alarms that are not beyond the manufacturer's stated lifetime is prohibited.

#### Required Testing/Inspection

Concur with DOE Guidance ☒

Alternative Guidance ☐

Results in Deferral/Referral ☐

DOE WAP H&S Funds ☐

Alternative Funds ☐

Verify operation and age of installed alarms.

#### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐

Allowed with Alternative Funds ☒

If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.

#### Required Occupant Education

Concur with DOE Guidance ☒

Alternative Guidance ☐

Provide occupant with verbal and written information on use of newly installed devices and the potential risks of not properly maintaining these devices.

## 6.17 – Ventilation and Indoor Air Quality

### Required Actions

Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	

Install ventilation as required by ASHRAE 62.2 - 2016. If occupant refuses ventilation as required by ASHRAE 62.2, the home must be deferred.

### Allowable Actions

Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>
---	--

If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.

### Required Testing/Inspection

Concur with DOE Guidance <input type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input type="checkbox"/>	

- ASHRAE 62.2 evaluation to determine required post-weatherization ventilation.
- Measure fan flow of existing fans and of installed equipment to verify performance.

### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>
--	---

If DOE WAP H&S Funds are used for any “allowable” testing, detail them here.

### Required Occupant Education

Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>
--	---

- Provide occupant with information on function, use, and maintenance (including location of service switch and cleaning instructions) of ventilation system and components.
- Provide occupant with equipment manuals for installed equipment.
- Include disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.

## 6.18 – Water Heaters

*(see Combustion Appliances for combustion related requirements)*

### Allowable Actions

Allowed with DOE WAP H&S Funds <input checked="" type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>
--	---

- All combustion water heaters must be properly vented before proceeding with any weatherization work.
- Any water heater which cannot be properly vented must be replaced.
- Determine if the gas valve is working properly. If not, replace the valve or the water heater, whichever is most cost effective
- Determine if the tank is leaking. If it is leaking, it should be determined if it is a health and safety concern and should be replaced.
- Determine whether a temperature pressure relief valve and a discharge pipe are present. If the relief valve and/or the discharge pipe are not present and there is an existing location for them, determine whether it could be a safety concern and install if needed.
- Examine the plumbing to determine if there are leaks. If leaks exist, they may be repaired within program limits for General Health & Safety repairs.
- A water heater should not be replaced solely on the basis of its age. The age of a water heater does not provide an accurate indication of whether it should be replaced.
- When a water heater is replaced, document the reason for the replacement in the file.

### Required Testing/Inspection

Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>Visual inspection of all water heaters and related piping for safety and leaks</li> <li>See Combustion Appliances section for related combustion safety testing requirements.</li> </ul>		
<b>Allowable Testing/Inspection</b>		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
<b>Required Occupant Education</b>		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	
<ul style="list-style-type: none"> <li>Appropriate use and maintenance of units.</li> <li>Provide all paperwork and manuals for any installed equipment.</li> <li>Where combustion equipment is present, provide combustion safety and hazards information including how to recognize depressurization, dangers of CO poisoning, and fire risks associated with combustion appliance use.</li> </ul>		

6.19 – Worker Safety		
Required Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input checked="" type="checkbox"/>	
Adherence to all federal, state, and local worker safety regulations (e.g., OSHA, EPA).		
Allowable Actions		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
<ul style="list-style-type: none"> <li>All agencies are required to have an agency-wide Health and Safety Plan as outlined by OSHA which must incorporate these guidelines.</li> <li>All on-site weatherization workers, including Energy Auditors, crews, contractors, and Inspectors are expected to follow OSHA safe work practices, confined spaces, as well as any practices spelled out in these standards.</li> <li>All materials will be handled in accordance with manufacturer specification or Safety Data Sheets (SDS) standards to eliminate hazards associated with volatile organic compounds (VOCs), sealants, insulation, contaminated drywall, dust, foams, asbestos, lead, mercury, and fibers.</li> <li>Appropriate personal protective equipment (PPE) will be provided to agency staff.</li> <li>Workers will be trained on how to use PPE. Workers will be expected to always use appropriate PPE during work.</li> </ul>		
Prohibited Actions		
Concur with DOE Guidance <input checked="" type="checkbox"/>		
Using DOE WAP H&S funds for <b>major</b> repairs as defined by the Grantee's H&S Plan is prohibited.		
Define "major" repairs		
All non-H&S repairs are included in the NEAT audit SIR. Any repair that the audit will not justify with a cumulative SIR of 1 or greater is considered a major repair and is not permitted.		
Allowable Testing		
Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input checked="" type="checkbox"/>	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		

## 6.X – (Insert Additional H&S Items for Use of DOE WAP H&S funds)

### Required Actions

Concur with DOE Guidance <input type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input type="checkbox"/>	

Insert required item text

### Allowable Actions

Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>
---	---

If DOE WAP H&S Funds are used for any “allowable” actions, detail them here.

### Prohibited Actions

Concur with DOE Guidance ☐

What is prohibited

### Required Testing/Inspection

Concur with DOE Guidance <input type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
DOE WAP H&S Funds <input type="checkbox"/>	Alternative Funds <input type="checkbox"/>	

Insert required item text

### Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds <input type="checkbox"/>	Allowed with Alternative Funds <input type="checkbox"/>
---	---

If DOE WAP H&S Funds are used for any “allowable” testing, detail them here.

### Prohibited Testing/Inspection

Concur with DOE Guidance ☐

What is prohibited

### Required Occupant Education

Concur with DOE Guidance <input type="checkbox"/>	Alternative Guidance <input type="checkbox"/>
---	---

Insert required item text