

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		2. Type of Application: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision		If Revision, select appropriate letter(s) Other (specify):	
3. Date Received 03/27/2013			4. Applicant Identifier:		
5a. Fed Entity Identifier:			5b. Federal Award Identifier: DE-EE0006154		
State Use Only:					
6. Date Received by State: 12/31/2015			7. State Application Identifier:		
8. APPLICANT INFORMATION:					
a. Legal Name: State of Iowa					
b. Employer/Taxpayer Identification Number (EIN/TIN): 426004571			c. Organizational DUNS: 090571873		
d. Address:					
Street 1: Lucas State Office Building					
Street 2: 321 East 12th Street					
City: Des Moines					
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: Ms First Name: Gwen					
Middle Name:					
Last Name: Howe					
Suffix:					
Title: Weatherization Bureau Chief					
Organizational Affiliation:					
Telephone Number: 5152813988			Fax Number: 5152426119		
Email: Gwen.Howe@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-FOA-0002016

Title:

2016 Weatherization Assistance Funding Opportunity

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: _____ b. Program/Project: IA-Statewide

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

17. Proposed Project:

a. Start Date: 04/01/2015 b. End Date: 03/31/2016

18. Estimated Funding (\$):

a. Federal	4,591,815.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	4,591,815.00

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

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

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

No

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

I AGREE

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

Authorized Representative:

Prefix: _____ 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: _____

Date Signed: _____

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006154		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 04/01/2015	5. Completion Date 03/31/2016

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		\$ 4,591,815.00		\$ 4,591,815.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 4,591,815.00	\$ 0.00	\$ 4,591,815.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) PROGRAM OPERATION S	
a. Personnel	\$ 123,416.00	\$ 0.00	\$ 353,799.00	\$ 0.00	\$ 477,215.00
b. Benefits	\$ 49,211.00	\$ 0.00	\$ 145,023.00	\$ 0.00	\$ 194,234.00
c. Travel	\$ 8,702.00	\$ 0.00	\$ 86,200.00	\$ 0.00	\$ 94,902.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 5,000.00	\$ 0.00	\$ 10,287.00	\$ 0.00	\$ 15,287.00
f. Contract	\$ 0.00	\$ 369,160.00	\$ 0.00	\$ 2,600,932.00	\$ 3,621,884.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 7,700.00	\$ 0.00	\$ 42,275.00	\$ 0.00	\$ 49,975.00
i. Total Direct Charges	\$ 194,029.00	\$ 369,160.00	\$ 637,584.00	\$ 2,600,932.00	\$ 4,453,497.00
j. Indirect	\$ 35,561.00	\$ 0.00	\$ 102,757.00	\$ 0.00	\$ 138,318.00
k. Totals	\$ 229,590.00	\$ 369,160.00	\$ 740,341.00	\$ 2,600,932.00	\$ 4,591,815.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006154		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 04/01/2015	5. Completion Date 03/31/2016

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	\$ 4,591,815.00	\$ 0.00	\$ 4,591,815.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1) HEALTH AND SAFETY	(2)	(3)	(4)		
a. Personnel	\$ 0.00					\$ 477,215.00
b. Benefits	\$ 0.00					\$ 194,234.00
c. Travel	\$ 0.00					\$ 94,902.00
d. Equipment	\$ 0.00					\$ 0.00
e. Supplies	\$ 0.00					\$ 15,287.00
f. Contract	\$ 651,792.00					\$ 3,621,884.00
g. Construction	\$ 0.00					\$ 0.00
h. Other	\$ 0.00					\$ 49,975.00
i. Total Direct Charges	\$ 651,792.00					\$ 4,453,497.00
j. Indirect	\$ 0.00					\$ 138,318.00
k. Totals	\$ 651,792.00					\$ 4,591,815.00
7. Program Income	\$ 0.00					\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Iowa
Award number: EE0006154

Budget period: 04/01/2015 - 03/31/2016

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

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

<u>Position</u>	<u>Description of Duties of Professionals</u>
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.
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.
Technical Specialist/Trainer/QC	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to sub-grantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Technical Specialist/Trainer & QC	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to sub-grantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Program Specialist	Monitors sub-grantees 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 QC 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.
Program Specialist	Monitors subgrantees for administrative and program compliance issues. Assists in developing and implementing administrative policies and procedures. Conducts data analysis focusing on program performance

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Division Administrator	\$99,956.00	35.0000 % FT	\$34,984.60
Bureau Chief	\$89,409.00	100.0000 % FT	\$89,409.00
Administrative Assistant	\$61,070.00	35.0000 % FT	\$21,374.50
Technical Specialist/Trainer/QC	\$57,768.00	100.0000 % FT	\$57,768.00
Technical Specialist/Trainer & QC	\$71,922.00	100.0000 % FT	\$71,922.00
Program Specialist	\$76,010.00	100.0000 % FT	\$76,010.00
Budget Analyst	\$64,302.00	75.0000 % FT	\$48,226.50
Program Specialist	\$77,520.00	100.0000 % FT	\$77,520.00

Direct Pay Total	\$477,214.60
------------------	--------------

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.
The contract is binding between the State of Iowa and AFSCME.

FICA 7.65%
 Health Insur \$7351 - \$20721/yr Dental Insur \$350 - \$470/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	\$34,984.60	33.6000 %	\$11,754.83
Bureau Chief	\$89,409.00	40.5600 %	\$36,264.29
Administrative Assistant	\$21,374.50	47.9900 %	\$10,257.62
Technical Specialist/Trainer/QC	\$57,768.00	49.7900 %	\$28,762.69
Technical Specialist/Trainer & QC	\$71,922.00	41.8500 %	\$30,099.36
Program Specialist	\$76,010.00	41.6800 %	\$31,680.97
Budget Analyst	\$48,226.50	28.9400 %	\$13,956.75
Program Specialist	\$77,520.00	40.5800 %	\$31,457.62
		Fringe Benefits Total	\$194,234.13

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.	9	\$220.00	\$1,980.00
NASCSP Meeting	9	\$2,300.00	\$20,700.00
On-site technical assistance provided to sub-grantees by grantee staff.	45	\$150.00	\$6,750.00
Fiscal monitoring	20	\$300.00	\$6,000.00
Training - provide required Tier 2 training to sub-grantee personnel. Includes: NEAT/MHEA, Mold & Moisture, Furnace and Combustion H&S, Basic Evaluator, and Blower Door & Zone Pressures	9	\$483.00	\$4,347.00
WIPFLI Conference for Fiscal and Administrative monitors	4	\$2,000.00	\$8,000.00

CAPLAW Annual Conference for Fiscal and Administrative monitors	2	\$2,173.00	\$4,346.00
Technical Monitoring - includes review of work in process as well as completed jobs.	45	\$450.00	\$20,250.00
Tier 1 training for grantee staff	4	\$601.00	\$2,404.00
Administrative Monitoring	25	\$450.00	\$11,250.00
ACI Conference for grantee staff to stay current with new WAP techniques.	5	\$1,775.00	\$8,875.00
		Travel Total	\$94,902.00

- 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, Affordable Comfort (ACI), AHSRAE, 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 Tier 2 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. Travel to Tier 1 training for grantee staff will be used to send the current QCI certified staff to training to obtain required CEUs.

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

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

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. Further definitions can be found in 10 CFR 600.

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

General Category	Cost	Justification of Need
Office supplies.	\$8,000.00	General office supplies to administer the program and maintain records.
Misc. tools, training supplies	\$7,287.00	Used during inspections of homes and for training.
Materials and Supplies Total	\$15,287.00	

- 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 II.3).

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Sub-Grantees (Admin, H&S & Program Operations)	\$3,621,884.00	Based on state formula for sub-grantees.
Contracts and Subgrants Total	\$3,621,884.00	

*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>
QCI Training	\$12,000.00	Provide CEU eligible training to certified QCI grantee and sub-grantee staff. Costs include providing in-state training to large groups.
Dues - NASCSP	\$3,000.00	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.
Printing/Postage/Phone	\$10,975.00	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.
Tier I Training	\$24,000.00	To provide training required Tier 1 training to grantee and sub-grantee staff as required. Costs include bringing IREC accredited trainers to provide classes in-state.
Other Direct Costs Total	\$49,975.00	

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.

Estimated costs are based on historical spending detail. Tier 1 training budget include all costs associated with bringing in a accredited trainer to provide sessions to large groups of grantee and sub-grantee staff. Since there are no accredited training centers in the mid-west, it will be more cost effective to have a trainer come to us rather than travel. QCI Training will help all certified sub-grantee staff meet the on-going requirements of obtaining CEUs to maintain certification. Once again the trainer will provide large group sessions in-state. Dues - based on historical data.

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 20.60% and is effective from 07/01/2014 until 06/30/2016. See Attachment #1 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: Mary Bowser Phone Number: 5152816680

Indirect costs calculations:

<u>Indirect Cost Account</u>	<u>Direct Total</u>	<u>Indirect Rate</u>	<u>Total Indirect</u>
Administration - Personnel and Fringe	\$172,627.00	20.6000 %	\$35,561.16
T&TA - Personnel and Fringe	\$498,822.00	20.6000 %	\$102,757.33

Indirect Costs Total \$138,318.49

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
01 Community Opportunities, Inc (Carroll)	\$157,915.00 16
02 Hawkeye Area Community Action Program (Hiawatha)	\$383,558.00 40
03 Community Action of Eastern Iowa (Davenport)	\$334,662.00 33
04 MATURA Action Corporation (Creston)	\$71,350.00 8
05 Mid-Iowa Community Action Agency (Marshalltown)	\$241,217.00 24
06 Mid-Sioux Opportunity, Inc. (Remsen)	\$92,720.00 10
08 North Iowa Community Action Org. (Mason City)	\$181,457.00 18
09 Northeast Iowa Community Action Corporation (Decorah)	\$150,671.00 15
10 Operation: New View (Dubuque)	\$157,189.00 16
11 Operation Threshold (Waterloo)	\$216,951.00 22
12 IMPACT Community Action Partnership (Des Moines)	\$102,137.00 10
13 South Central Iowa Community Action Program (Chariton)	\$66,643.00 7
14 Community Action of Southeast Iowa (Burlington)	\$172,403.00 17
15 Southern Iowa Economic Development (Ottumwa)	\$189,787.00 19
16 Upper Des Moines Opportunity, Inc. (Graettinger)	\$240,856.00 24
17 West Central Community Action (Harlan)	\$250,634.00 25
18 Community Action of Siouxland (Sioux City)	\$164,795.00 16
20 Polk County Board of Supervisors (Des Moines)	\$446,941.00 47
Total:	\$3,621,886.00 367

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	357
Rewatherized Units	10
Note: Planned units by quarter or category are no longer required, no information required for persons.	

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

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	357
C	Total Units Reweatherized	10
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	367
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	\$2,600,932.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	367
H	Average Program Operations Costs per Unit (F divided by G)	\$7,087.01
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,087.01

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	367	29.3	10753
Prior Year Estimate	352	30.5	10736
Prior Year Actual	512	30.5	15616

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

IV.5 Policy Advisory Council Members

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

Brown, Anna	Type of organization: Other Contact Name: Phone: 8124849053 Email: abrown20914@gmail.com
Busch, Kelly	Type of organization: Unit of Local Government Contact Name: Phone: 6417820038 Email: uncotrea@iowatelecom.net
Hilpipre, Anna	Type of organization: Other Contact Name: Phone: 6415281149 Email: anna.hilpipre@basf.com
Iowa Commission for the Division of Community Action Agencies	Type of organization: Other Contact Name: Phone: 5152813861 Email: Marcia.Thompson@iowa.gov
Lindeen, Marc	Type of organization: Unit of Local Government Contact Name: Phone: 3193858084 Email: supervisors@henrycountyiowa.us
Quiner, Tom	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Phone: 5152785145

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

Whisenand, Mary E.	Email:	tom@bmi-info.com
	Type of organization:	For-profit or Corporate (not a financial institution or utility)
	Contact Name:	
	Phone:	5152648760
	Email:	marywhisenand@mediacombb.net

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
No record found	

IV.7 Miscellaneous

Recipient Business Officer:
William Brand, Division Administrator
Bill.Brand@iowa.gov
515-281-3268

Recipient Principal Investigator:
Gwen Howe, WX Bureau Chief
Gwen.Howe@iowa.gov
515-281-3988

- The Commission for the Division of Community Action Agencies serves as the PAC for Iowa WAP. These commission members are appointed by the Governor of Iowa.
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.

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Name:	01 Community Opportunities, Inc	Contact:	Mike Berg	
		DUNS:	166933259	
Address:	23751 Hwy 30	Phone:	(712) 792-9266	
	P.O. Box 427	Fax:	(712) 792-5723	
	Carroll, IA 51401-0000	Email:	mberg@newopp.org	
Counties served:	DALLAS County	Tentative allocation:	\$ 157,915.00	Congressional districts served:
	CARROLL County	Planned units:	16	<u>CD</u>
	GREENE County	Type of organization:	Local agency	IA-03
	AUDUBON County			IA-04
	CRAWFORD County			
	CALHOUN County			
	GUTHRIE County			
	SAC County			
	Source of labor: Contractors			

Name:	02 Hawkeye Area Community Action Program	Contact:	Dan Rauser	
		DUNS:	039311399	
Address:	1515 Hawkeye Drive	Phone:	(319) 393-7811	
	Hiawatha, IA 52233	Fax:	(319) 393-2793	
		Email:	drauser@hacap.org	
Counties served:	JONES County	Tentative allocation:	\$ 383,558.00	Congressional districts served:
	IOWA County	Planned units:	40	<u>CD</u>
	BENTON County	Type of organization:	Local agency	IA-02
	WASHINGTON County			IA-01
	LINN County			
	JOHNSON County			
	Source of labor: Agency and Contractors			

Name:	03 Community Action of Eastern Iowa	Contact:	Tom Wiebenga	
		DUNS:	078100401	
Address:	500 E. 59th Street	Phone:	(563) 323-2383	
	Davenport, IA 52807	Fax:	(563) 324-7736	
		Email:	twiebenga@iacommunityaction.org	
Counties served:	CLINTON County	Tentative allocation:	\$ 334,662.00	Congressional districts served:
	MUSCATINE County	Planned units:	33	<u>CD</u>
	CEDAR County	Type of organization:	Local agency	IA-02
	SCOTT County			
	Source of labor: Agency and Contractors			

Name:	04 MATURA Action Corporation	Contact:	Eldon Starmer	
		DUNS:	069616266	
Address:	207 B North Elm St.	Phone:	(641) 782-8431	
	Creston, IA 50801-0000	Fax:	(641) 782-6287	
		Email:	estarmer@maturaact.org	

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Counties served: RINGGOLD County UNION County MADISON County TAYLOR County ADAIR County ADAMS County	Tentative allocation: \$ 71,350.00 Planned units: 8 Type of organization: Local agency	Congressional districts served:	CD IA-03
Source of labor: Contractors			

Name: 05 Mid-Iowa Community Action Agency	Contact: Terri Tague DUNS: 107350035	Phone: (641) 752-7162 Fax: (641) 752-9724 Email: ttague@micaonline.org	Address: 1001 S 18th Street Marshalltown, IA 50158
Counties served: TAMA County STORY County MARSHALL County JASPER County HARDIN County POWESHIEK County	Tentative allocation: \$ 241,217.00 Planned units: 24 Type of organization: Local agency	Congressional districts served:	CD IA-04 IA-01 IA-02
Source of labor: Agency and Contractors			

Name: 06 Mid-Sioux Opportunity, Inc.	Contact: Julie Colling DUNS: 087073268	Phone: (712) 786-3415 Fax: (712) 786-3250 Email: jcolling@mid-siouxopportunity.org	Address: 418 Marion St Remsen, IA 51050
Counties served: IDA County LYON County SIOUX County CHEROKEE County PLYMOUTH County	Tentative allocation: \$ 92,720.00 Planned units: 10 Type of organization: Local agency	Congressional districts served:	CD IA-04
Source of labor: Contractors			

Name: 08 North Iowa Community Action Org.	Contact: John Beyer DUNS: 098022197	Phone: (641) 424-6453 Fax: (641) 423-9046 Email: jbeyer@nicao-online.org	Address: 218 5th Street S.W. P.O. Box 1627 Mason City, IA 50402
Counties served: KOSSUTH County WORTH County WINNEBAGO County MITCHELL County BUTLER County HANCOCK County FLOYD County FRANKLIN County CERRO GORDO County	Tentative allocation: \$ 181,457.00 Planned units: 18 Type of organization: Local agency	Congressional districts served:	CD IA-04 IA-01
Source of labor: Agency and Contractors			

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Name:	09 Northeast Iowa Community Action Corporation	Contact:	Scott Barnett	
		DUNS:	098025059	
Address:	305 Montgomery Decorah, IA 52101	Phone:	(563) 382-8436	
		Fax:	(563) 382-9854	
		Email:	scott@neicac.org	
Counties served:	BREMER County FAYETTE County HOWARD County CHICKASAW County WINNESHIEK County CLAYTON County ALLAMAKEE County	Tentative allocation:	\$ 150,671.00	Congressional districts served:
		Planned units:	15	<u>CD</u> IA-04
		Type of organization:	Local agency	IA-01
		Source of labor:	Agency and Contractors	

Name:	10 Operation: New View	Contact:	Don Naderman	
		DUNS:	078083730	
Address:	1473 Central Ave Dubuque, IA 52001-0000	Phone:	(563) 556-5130	
		Fax:	(563) 556-4402	
		Email:	dnaderman@operationnewview.org	
Counties served:	JACKSON County DUBUQUE County DELAWARE County	Tentative allocation:	\$ 157,189.00	Congressional districts served:
		Planned units:	16	<u>CD</u> IA-01
		Type of organization:	Local agency	
		Source of labor:	Contractors	

Name:	11 Operation Threshold	Contact:	Joe Ambrose	
		DUNS:	078094877	
Address:	1535 Lafayette P.O. Box 4120 Waterloo, IA 50704-0000	Phone:	(319) 291-2065	
		Fax:	(319) 235-1518	
		Email:	jambrose@operationthreshold.org	
Counties served:	BUCHANAN County GRUNDY County BLACK HAWK County	Tentative allocation:	\$ 216,951.00	Congressional districts served:
		Planned units:	22	<u>CD</u> IA-04
		Type of organization:	Local agency	IA-01
		Source of labor:	Agency and Contractors	

Name:	12 IMPACT Community Action Partnership	Contact:	Julie Heck	
		DUNS:	16397631	
Address:	3226 University Ave Des Moines, IA 50311	Phone:	(515) 274-1345	
		Fax:	(515) 273-9833	
		Email:	jheck@impactcap.org	
Counties served:	BOONE County WARREN County MARION County	Tentative allocation:	\$ 102,137.00	Congressional districts served:
		Planned units:	10	<u>CD</u> IA-04
		Type of organization:	Local agency	IA-02
		Source of labor:	Contractors	IA-03

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Name:	13 South Central Iowa Community Action Program	Contact:	Jim Smith	
		DUNS:	161917281	
Address:	1711 Osceola Ave, suite 103 Chariton, IA 50049-0000	Phone:	(641) 774-8133	
		Fax:	() -	
		Email:	jsscicap@scicap.org	
Counties served:	CLARKE County WAYNE County MONROE County DECATUR County LUCAS County	Tentative allocation:	\$ 66,643.00	Congressional districts served: <u>CD</u> IA-02
		Planned units:	7	
		Type of organization:	Local agency	
		Source of labor:	Contractors	

Name:	14 Community Action of Southeast Iowa	Contact:	Tom Richert	
		DUNS:	094782687	
Address:	2850 Mt. Pleasant Street, Suite 108 Burlington, IA 52061	Phone:	(319) 753-0193	
		Fax:	(319) 753-0887	
		Email:	tom.richert@caofseia.org	
Counties served:	LOUISA County LEE County HENRY County DES MOINES County	Tentative allocation:	\$ 172,403.00	Congressional districts served: <u>CD</u> IA-02
		Planned units:	17	
		Type of organization:	Local agency	
		Source of labor:	Agency and Contractors	

Name:	15 Southern Iowa Economic Development	Contact:	Richard (Ned) VanNostrand	
		DUNS:	040588170	
Address:	310 W. Main Street P.O. Box 658 Ottumwa, IA 52501-0000	Phone:	(641) 682-8741	
		Fax:	(641) 682-2026	
		Email:	rvanmostrand@sieda.org	
Counties served:	JEFFERSON County WAPELLO County VAN BUREN County KEOKUK County MAHASKA County DAVIS County APPANOOSE County	Tentative allocation:	\$ 189,787.00	Congressional districts served: <u>CD</u> IA-02
		Planned units:	19	
		Type of organization:	Local agency	
		Source of labor:	Contractors	

Name:	16 Upper Des Moines Opportunity, Inc.	Contact:	Kyle Dietrich	
		DUNS:	061317236	
Address:	101 Robins Ave. Gracettinger, IA 51342-0000	Phone:	(712) 859-3885	
		Fax:	(712) 859-3892	
		Email:	kdietrich@udmo.com	

DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127
Expiration Date: 11/30/2016

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Counties served: WEBSTER County PALO ALTO County DICKINSON County HUMBOLDT County POCAHONTAS County HAMILTON County O'BRIEN County WRIGHT County CLAY County OSCEOLA County EMMET County BUENA VISTA County	Tentative allocation: \$ 240,856.00 Planned units: 24 Type of organization: Local agency	Congressional districts served:	<u>CD</u> IA-04
Source of labor: Contractors			

Name: 17 West Central Community Action Address: 1408 A Hwy 44 P.O. Box 709 Harlan, IA 51537-0000	Contact: Kelly Mallberg DUNS: 068675354 Phone: (712) 755-5135 Fax: (712) 755-5999 Email: kmalfberg@westcca.org	Tentative allocation: \$ 250,634.00 Planned units: 25 Type of organization: Local agency	Congressional districts served:	<u>CD</u> IA-04 IA-03
Counties served: FREMONT County MILLS County HARRISON County SHELBY County PAGE County CASS County MONTGOMERY County POTTAWATTAMIE Count	Source of labor: Contractors			

Name: 18 Community Action of Siouxland Address: 2700 Leech Sioux City, IA 51106	Contact: Joe Miller DUNS: 153551320 Phone: (712) 274-1610 Fax: (712) 274-0368 Email: jmillier@caasiouxland.org	Tentative allocation: \$ 164,795.00 Planned units: 16 Type of organization: Local agency	Congressional districts served:	<u>CD</u> IA-04
Counties served: WOODBURY County MONONA County	Source of labor: Contractors			

Name: 20 Polk County Board of Supervisors Address: 5885 N.E. 14th Street Des Moines, IA 50313	Contact: Dave Williamson DUNS: 132568270 Phone: (515) 286-3726 Fax: (515) 875-5531 Email: Dave.Williamson@polkcountyiowa.gov	Tentative allocation: \$ 446,941.00 Planned units: 47 Type of organization: Unit of local government	Congressional districts served:	<u>CD</u> IA-03
---	--	--	---------------------------------	--------------------

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IA Grant Number: EE0006154 Program Year: 2016

Source of labor: Contractors

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

The gross income of all household members residing in the household at the time of application shall be counted to determine eligibility. Any individual listed on an approved application for the current fiscal year may not be listed on another application. Verification of income is required of all participants before an application is complete with the exception that 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, or a statement signed by the employer if the salary is paid in cash. Other evidence, such as copies of unemployment checks or Medicaid cards 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 90 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 sub-grantees to determine eligibility for both LIHEAP and WAP. This allows clients who have recently lost their jobs to qualify by using the most recent 90 day time period.

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 are also eligible for assistance.

Approximately 174,166 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(a). 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, and households receiving payments under Title IV and XVI of the Social Security Act. 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 client 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.

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 you put a 0 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

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

application. A copy of the birth certificate should be included in the LIHEAP application file.

These are the requirements of the LIHEAP Program in Iowa. They comply with the HHS requirements found at this website:
<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

No dwelling unit will be weatherized without documentation that the dwelling unit is an eligible unit, as defined as 10 CFR 440.22. The local sub-grantees verify applicants' income during the application process. Sub-grantees are required to maintain records that include documentation of client eligibility. The local sub-grantees 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 house has not been previously weatherized. If the house 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 house is eligible for re-weatherization, the sub-grantee makes a determination whether or not to re-weatherize the house based on a number of factors including the energy usage of the house and the number of eligible households on the waiting list.

Dwellings that were originally weatherized between September 30, 1975 and September 30, 1994, are eligible for re-weatherization.

All household files will contain the required documentation to show eligibility including: Approved client applications, Landlord agreements (if applicable), SHPO documentation indicating age of house, etc.

Describe Reweathering compliance

The local sub-grantees maintain records of previously weatherized dwelling units in a database. These databases contain homes weatherized between 1979 and current year. The database is checked prior to scheduling a household for service to ensure that the house has not been previously weatherized. If the house has been previously weatherized and is not eligible for re-weatherization, as defined in 10 CFR 440.18, the house will not be re-weatherized.

Dwellings that were originally weatherized between September 30, 1975 and September 30, 1994, are eligible for re-weatherization. If the house is eligible for re-weatherization, the sub-grantee makes a determination whether or not to re-weatherize the house based on a number of factors including the energy usage of the house 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 DCAA 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 complete the re-weatherization of these homes unless they were originally completed before September 30, 1994. Homes weatherized since October 1, 1994 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. Client selection for service is based on a point system calculated using an estimate of annual client bill savings for heating, water heating and air conditioning measures. This system is applied by the sub-grantees 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.

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

The current SHPO agreement was reviewed for necessary changes in April 2015. No changes were necessary, therefore, it was continued through 2020.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

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.

The benefits 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 warmer and safer dwelling after weatherization services have been provided.

In the case of multi-unit dwellings, 66% of the residents (50% for duplexes and four unit buildings) must be income eligible in order that the entire structure may be weatherized. If fewer households than the required 66% (or 50% for duplexes and four unit buildings) are income eligible, only those units occupied by eligible households or those that will be occupied by eligible households within 180 days, may be weatherized. If the entire multi-unit dwelling is completely weatherized (i.e. the 'completed home' criteria is met for all the units), all units may be counted as completions. Required information will be submitted to the DOE Project Officer for approval before weatherization work begins on structures containing 5 or more units.

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.

Sub-grantees will use an agreement, signed by the landlord, 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 sub-grantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the sub-grantee. The use of this agreement will help protect the rights of the tenant.

Sub-grantee 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 sub-grantee shall attempt to resolve the dispute. If the sub-grantee is not able to resolve the dispute, the tenant shall be referred to legal aid.

Describe the deferral Process

Although a client 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 agency 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 client, 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. Agencies should attempt to identify all reasons why work is being deferred on a home and notify the client or landlord of all the reasons 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:

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

When a client:

- Refuses to sign the "Release of Liability Form".
- Moves or dies while weatherization services are being provided. (Weatherization services may be completed if the majority of work is done prior to the client 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 house that prevent the evaluation of the house from being performed or prevents important measures from being installed.
 - Refusing to change behavior that can cause health and safety problems (e.g. refusal to discontinue using excessive number of humidifiers).
- When a client, 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).
- Is scheduled for demolition or 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 a weatherization evaluation 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.
- Requires wall insulation, but has slate or insul-brick siding.
- One or more health and safety hazards exist that must be corrected by the client (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 clients but the weatherization program cannot mitigate the hazards due to expenditure limits or program rule/policy limits.
- When a manufactured home:
 - Has a heating system other than a heating system manufactured for mobile homes or a sealed combustion high efficiency furnace with modifications per manufacturer's instructions and installed properly to include outside air for combustion.
 - Has a fireplace or heating stove drawing combustion air from inside the dwelling.
 - Has been improperly set. Any nonconforming items in the installation will be reported to a licensed installer (e.g., state administering agency). Any installation deficiencies will be repaired by the client or landlord before starting work. Home must be stabilized in accordance with manufacturer specifications or local authority having jurisdiction.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

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 American Indians 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

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 sub-grantees are selected by the DCAA to administer the program in local area throughout the state.

It is the intent of the DCAA, as the state grantee, to only consider and contract with sub-grantees 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 sub-grantees to administer local weatherization programs.

The basis for selecting the Iowa Weatherization Program's sub-grantees includes consideration of the following:

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

In selecting sub-grantees each year, the state gives priority to the sub-grantees that currently administer the program in the local areas because these sub-grantees 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 sub-grantees to administer the program for the new year, the state reviews the results of sub-grantee monitoring reviews and considers other performance factors in determining whether each current sub-grantee is operating an effective program.

The Iowa Weatherization Program contracts with eighteen (18) sub-grantees to provide weatherization service to clients in all counties of the state. Seventeen (17) sub-grantees are Community Action Agencies. The other sub-grantee is a 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 sub-grantee, if, in the opinion of the program administrator, the sub-grantee is not meeting the needs of the clients in that area. In the event a sub-grantee elects to discontinue participation or is subject to defunding of its weatherization program, the state will initiate a request for proposal to all practical service agencies within the service area.

In the event that a sub-grantee chooses to no longer administer the Weatherization Program in their service area or if a sub-grantee is defunded, the state reserves the right to use an alternate sub-grantee(s) to temporarily provide weatherization service in the service area of that sub-grantee. The alternate sub-grantee(s) would administer the program until a new sub-grantee for that service area is selected by the state through a request for proposal process. The purpose of the alternate sub-grantee is to minimize disruption in the delivery of weatherization service in the service area of a current sub-grantee that is defunded or discontinues administering the program. All 18 sub-grantees have requested to be considered alternate sub-grantees. If an alternate sub-grantee 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

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

V.3 Priorities for Service Delivery

Iowa uses the five DOE priority categories. The category High Energy Burden is defined as households eligible for LIHEAP. Therefore, the LIHEAP client list becomes WAP waiting list each year. Priority for those on the list is given to households with the highest energy usage (greatest potential for savings) with additional priority to households occupied by elderly persons, persons with disabilities, and/or young children. The priority system is consistently applied to all housing types, single family, manufactured homes, and multi-unit dwellings.

Client selection for service is based on a point system based on an estimate of annual client 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 client 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 young children

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

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

Client priority is implemented on a per county basis. Clients will be served in order beginning with those clients with the highest client points, including increases for elderly, disabled, and children. Any waiver from the point system may be made for the following reasons only:

1. Emergency situations, such as a heating system quits working during cold weather or an unsafe furnace poses an immediate health and safety risk to the client(s). In this case services will be provided with LIHEAP Weatherization funds.
2. Clients who are customers of utilities that are co-funding weatherization, or clients who are eligible for other funding sources which can be used in conjunction with regular weatherization program funds 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 clients with higher points, if, by doing so, regular program funds (i.e. DOE or HEAP) can be spread further, thus allowing the sub-grantee to serve more clients.

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 5,680 heating degree days in the southeast portion of the state to a high of 7,671 heating degree days in the northwest portion of the state using a base of 65° F. The heating degree statewide average is 6,589. The average heating degree-days in each area served by a weatherization project 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 costs effective a measure or group of measures may be, if other factors remain constant. Each sub-grantee uses the heating degree-day data provided with the NEAT/MHEA Audit that is most appropriate to its geographical service area.

HDD data is from AccuWeather. The HDD 10-year average for each sub-grantee was calculated by summing the data for county weather site in each sub-grantee area and then calculating the average of that number.

Heating Degree Days - 10 year average			
Agency	Low	High	Average
New Opportunities	6050	6819	6654
HACAP	6342	7066	6708
Eastern Iowa	6308	6632	6446
MATURA	6057	6339	6264
MICA	6342	6910	6686
Mid Sioux	6775	7308	6991
North Iowa	7161	7605	7364

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

Northeast Iowa	6980	7192	7053
New View	6859	7104	7003
Threshold	6937	7151	7065
IMPACT	6040	6757	6396
SCICAP	5994	6324	6172
Southeast Iowa	5680	5732	5703
SIEDA	6195	6323	6232
Upper Des Moines	6831	7671	7244
West Central	5818	6374	6030
Siouxland	6434	6732	6583
Polk County	6012	6012	6012

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:

- The Weatherization Policy and Procedures Manual - last updated 01/01/2016
- The Weatherization Standards and Field Guide Manual - last updated 01/01/2016 (attachment #3)
- The Weatherization General Appendix - last updated 11/01/2014
- The NEAT Audit Manual - last updated 11/01/2014
- The MHEA Audit Manual - last updated 11/01/2014
- Various State Program Notices - issued as needed.

The Weatherization Standards and Field Guide reflect the requirements established in the Standard Work Specification. The crosswalk between these two documents is complete. The Weatherization Standards and Field Guide Manual along with Variance Requests were approved by DOE in 2015. There have been no substantial changes since that time.

Sub-grantee 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 General Appendix,
- Weatherization Program Notices,
- DCAA directives, and
- Federal, state, and local laws and regulations

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

Sub-grantee 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)
- OSHA Safe Work Practices

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

- *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 these manuals and notices are distributed to sub-grantees and made available to sub-grantees and state staff on-line.

Other items made available on-line to sub-grantees include:

- Annual sub-grantee contracts
- SHPO requirements
- Lead safe renovation requirements
- Licensing requirements for professionals (HVAC, electricians, plumbers, etc.)
- All forms required for client files
- Templates for contracting labor and materials at the sub-grantee 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 2013 calculations. REDCalc is from Residential Energy Dynamics.

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

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family : The NEAT Audit is run on every site-built structure. NEAT Audit was re-authorized on 03/20/2013.

Manufactured : The MHEA Audit is run on all manufactured housing structures. MHEA Audit was re-authorized on 03/20/2013.

Housing :

Multi-Family : Sub-grantees will contract with outside sources to run a DOE approved multi-family audit.

Comments

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

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

Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. In PY2014 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 11-1, 5.5.2.

V.5.3 Final Inspection

The sub-grantee final inspection must be completed by a certified Quality Control Inspector (QCI). Sub-grantees are required to maintain proof of staff QCI

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

certification. This must be made available to grantee staff upon request and will be checked against the on-line list at the BPI web-site.

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

Each sub-grantee is required to conduct a final inspection of each completed dwelling unit 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.
- 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 and 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, local building codes, and the Iowa Weatherization Program Work Standards (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.

Sub-grantees must sign each final inspection form certifying that the factors listed above were met. The final inspection forms must be filed in the client (house) file. Compliance with this requirement is checked during administrative monitoring visits. Sub-grantees may not report dwellings as complete until a final inspection of the unit has been performed. Grantee technical monitoring reports must also be filed in the client (house) file.

If grantee monitoring of a sub-grantee shows consistent poor quality work, the sub-grantee will be required to complete additional training in weak areas and will be subject to additional grantee monitoring. Sub-grantees will be required to submit a Corrective Work Plan with a time-line for meeting requirements. This will be monitored monthly for progress.

Several smaller sub-grantees have one staff person who serves as both Energy Auditor and QCI. In those cases, the grantee will monitor a minimum of 10% of the reported completed homes in order to ensure quality work.

In cases where the sub-grantee has more than one staff person conducting 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 sub-grantees.

Grantee QCI monitoring will include on-site house file review, review of measures installed, diagnostic testing, visual inspection of work completed, etc. Copies of grantee monitoring tools are included with the SF-424 (attachments 4 & 5).

V.6 Weatherization Analysis of Effectiveness

DCAA, in conjunction with investor owned utilities, conducts and publishes an annual evaluation of the Iowa Weatherization Program. This sub-grantee 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 sub-grantees. Energy savings between sub-grantees are not usually compared to each other to determine effectiveness because 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.

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

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

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

The performance assessment is used to determine technical assistance and training needs. If a weakness is evident at multiple sub-grantees, DCAA will arrange for training for all sub-grantees. If only one sub-grantee demonstrates a specific weakness, DCAA will work one-on-one with that sub-grantee to correct the issues. DCAA will continue to monitor progress of sub-grantees 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 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 Attachment #2 to the SF-424.

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). 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 sub-grantees that administer the LIHEAP Program and CSBG at the local level are, with one exception, the same sub-grantees that administer the Weatherization Program at the local level. This allows the three bureaus to coordinate various activities and share information involving the sub-grantees. For example, all three programs use one client application form.

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

- The Weatherization Policy and Procedures Manual - last updated 11/01/2014
- The Weatherization Standards and Field Guide Manual - last updated 12/01/2014
- The Weatherization General Appendix - last updated 11/01/2014
- The NEAT Audit Manual - last updated 11/01/2014
- The MHEA Audit Manual - last updated 11/01/2014
- Various State Program Notices - issued as needed.

The SEP and HUD programs are not administered by DCAA. SEP is administered by Economic Development. 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 10 percent of the DOE grant will be used by the state and the sub-grantees for administration of the DOE funds. Also, not more than 5 percent of the grant will be used by the state for administration of DOE funds.

The State Energy Efficiency Programs Improvement Act of 1990 permits grantees the option of providing sub-grantees who receive grants of less than \$350,000 up to an additional 5 percent administrative funds. Iowa will exercise this option for all eligible sub-grantees. For those eligible sub-grantees, an additional 5% of their sub-grant will be available as administrative funds.

V.8.3 Monitoring Activities

Iowa Weatherization monitoring staff include two technical monitors, two administrative monitors and one and a half fiscal monitors. All monitors are paid with T&TA funds. DOE funds will be used to cover a portion of the required monitoring trips (costs can be found in the budget section of the plan). Approximately 57% of T&TA will be used to complete required monitoring. If needed, other non-DOE funds will also be utilized to meet monitoring requirements.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

Certificates or training for Monitors:

- Technical monitors have the OSHA 30 hour training for Construction Industry, Lead Renovator or Inspector certificate. Technical monitors are also QCI Certified. They have attended various industry courses such as training on Manual J and will receive required continuing education as required to maintain certification.
- Administrative monitors have received training on Iowa Weatherization Policies and Procedures and technical requirements purchasing guidelines, and OMB Circular training. They also have OSHA 30 hour training for Construction Industry and Lead Renovator.
- Financial monitors have training in accounting and auditing, OMB Circulars requirements, and Iowa Weatherization Policies and Procedures.

Monitoring is done to evaluate sub-grantee 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 sub-grantees 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, state staff attempt to make recommendations on how to correct the problem. State staff discuss the problem areas directly with the weatherization staff or fiscal staff and/or the sub-grantee 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 sub-grantee has continuing major issues identified by technical, administrative or fiscal monitoring, it may be determined to be "at-risk". In that case, the sub-grantee would be notified in writing of that status and be required to submit, for state 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 sub-grantee 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 sub-grantee would be subject to additional monitoring until all identified issues are eliminated. Sub-grantee 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 (see Attachment #4).

Technical Quality Assurance Monitoring

Technical monitoring of completed houses is conducted for all sub-grantees during the program year. Inspections will be completed on at least 5 percent (10% for sub-grantees where the auditor and QCI are the same person) of the houses completed. Technical monitoring tools for manufactured homes and site-built homes are attached to the SF-424 (Attachment 10 & 11). Technical monitors will also complete reviews on "in-process" units to ensure the accuracy and quality of the initial audit.

The technical monitors review the quality of the sub-grantees' 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 sub-grantee within 30 work days of the date of the inspection. If the report requires corrective work by the sub-grantee, the corrective work must be completed within 45 days of receiving the report. The sub-grantee must send a written response to the DCAA documenting that all the corrective work was completed, or reasons why it could not be completed. The written response is due within 45 days of receiving the inspection report from the DCAA. If serious quality of work problems are found, the state may inspect up to 100% of a sub-grantee's production until work quality improves. Any required additional inspection trips will be completed with non-DOE money. Funding to the sub-grantee may also be suspended until proper remedies have taken place.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

The technical monitors offer the sub-grantees 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 sub-grantee at least annually. Attachments 5 - 9 to the SF-424 are the tools used in Administrative Monitoring.

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 sub-grantee 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.

State monitoring staff will conduct an exit interview with the sub-grantee to discuss observations and findings from the on-site review. Written monitoring reports will be sent to the sub-grantee 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 sub-grantee must respond, in writing, to the DCAA within 45 days of receiving the report. A sub-grantee'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 sub-grantee monitoring will be tracked by the state 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 sub-grantees' 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 checklist and tool is attached to the SF-424. Fiscal monitoring will include, at a minimum, the following:

- Review the financial procedures manual
- 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

State monitoring staff will conduct an exit interview with the sub-grantee to discuss observations and findings from the on-site review. Written fiscal monitoring reports will be sent to the sub-grantee 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 sub-grantee must respond, in writing, to the DCAA within 45 days of receiving the report.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

In-House Monitoring

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

Sub-grantee Assessment

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

A sub-grantee'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 sub-grantee monitoring will be tracked by the state to final resolution.

V.8.4 Training and Technical Assistance Approach and Activities

DCAA believes training and technical assistance 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 sub-grantee staff and contractors, training and technical assistance must be provided on an on-going basis.

DCAA uses a variety of approaches in providing training and technical assistance to the sub-grantees. Meetings are held to discuss administrative, fiscal, program, and technical issues. Technical training is provided at formal training sessions and on-site. State staff attend the sub-grantee program manager and fiscal officer meetings to discuss program, technical, and fiscal issues. State staff provide technical assistance during on-site monitoring and house inspections. All of these approaches have proven to be effective in providing training and technical assistance to the sub-grantees.

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

DCAA remains pro-active in industry-wide initiatives, often moving to adopt new initiatives before required.

Training and Technical Assistance Needs Assessment

The following methods are used to assess sub-grantee technical assistance and training needs:

- Sub-grantees are asked to identify statewide and individual sub-grantee technical and administrative training needs during the annual monitoring visits or group meetings.
- In-house and on-site program and fiscal monitoring of the sub-grantees is used to identify administrative, programmatic, and fiscal technical assistance and training needs.
- On-site inspections of completed homes are used to identify technical training needs.
- Monitoring the productivity of sub-grantees 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.

Training

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

The state provides sub-grantees with non-DOE 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 QCI certification as needed.

The state does not require certification of sub-grantee auditor or crew workers prior to hire. All crews and contractors are required to have training in lead paint safe work practices. All auditors/inspectors are required to have the following Tier 2 training: Basic Evaluator, NEAT and MHEA Audit, Lead Safe Work Practices, Mold/Moisture/Ventilation/ASHRAE 62.2, Advanced Blower Door/Zonal Pressure Diagnostics, and Furnace/Combustion Health & Safety.

Tier 1 training will be provided on a regular basis to all weatherization field staff. DCAA plans to bring accredited training to the state to meet this requirement. DCAA plans to provide Tier 1 training to auditors and inspectors in 2015.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

DCAA plans to provide other training necessary for certified QCI staff to obtain required CEUs. This will help ensure field staff are maintaining required credentials.

If sub-grantee staff do not attend DCAA mandated training, within 30 days, they must schedule on-site training with grantee staff to demonstrate proficiency in the specific work detail.

Technical Assistance

Technical assistance is provided to sub-grantees during on-site visits, at state meetings, at sub-grantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins. Technical assistance is also provided throughout the year by all state weatherization staff through phone calls and emails from local agencies. The state office also uses a weatherization website as a way of providing technical assistance to the local agencies. In addition to containing statewide program information and materials, the website also contains examples of local agency internal management tools that other agencies may want to use.

Sub-grantee Productivity and Energy Savings

The state collects and monitors sub-grantee productivity on a monthly basis. Concerns about productivity with specific sub-grantees are discussed with those sub-grantees. The state conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each sub-grantee. Results of the productivity monitoring and the energy savings analysis are used to determine sub-grantee-specific training and technical assistance needs.

Effectiveness of State 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 house inspectors, and feedback from sub-grantees during on-site visits and state meetings.

Client Education

Sub-grantees will provide client education when they go to clients' homes. Energy education will be done by sub-grantees during home audits and inspection. Crews/contractors also provide some client education if the opportunity presents itself.

QWP Implementation

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

Sub-grantees which do not have a certified inspector on staff by April 1, 2015 will be required to negotiate with other sub-grantees to use their certified QCI. For sub-grantees without sufficient staff to separate the duties of auditor and inspector, DCAA will inspect a minimum of 10% of DOE completions.

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, non-DOE funds may be used to provide disaster relief for weatherization clients. 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 Policy and Procedures Manual. Local agencies 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 local agency.

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

(Grant Number: EE0006154, State: IA, Program Year: 2016)

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 plants, 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 local agency 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

Work in disaster-damaged dwellings may run higher than the state average cost per unit.

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.