OMB Number: 4040-004
Expiration Date: 10/31/2019

APPLICATION FOR FEDERAL ASSISTANCE SF-424 Version 02

1. Type of Submission:
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application

2. Type of Application:
- [ ] New
- [ ] Continuation
- [X] Revision

If Revision, select appropriate letter(s)
Other (specify)
Other (specify): Revise Contact Person

3. Date Received
03/31/2022

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:
DE-EE0009987 (SF424 revision 1)

State Use Only:

6. Date Received by State: 03/31/2022

7. State Application Identifier:

8. APPLICANT INFORMATION:

a. Legal Name: State of Iowa

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

c. UEI:
ZVZKKJ5J8954

d. Address:

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

e. Organizational Unit:

Department Name:
Department of Human Rights

Division Name:
Division of Community Action Agencies

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

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

Title:

Organizational Affiliation:

Telephone Number: 5152814565
Fax Number:

Email: Christine.Taylor@iowa.gov

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OMB Number: 4040-004
Expiration Date: 10/31/2019

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: Bipartisan Infrastructure Law

12. Funding Opportunity Number:

DE-WBI-0002022

Title:

2022 WAP Bipartisan Infrastructure Law

13. Competition Identification Number:

Title:

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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

OMB Number: 4040-004
Expiration Date: 10/31/2019

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16.Congressional District Of:

a. Applicant: Iowa Congressional District 03

b. Program/Project: IA-Statewide

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

17. Proposed Project:

a. Start Date: 07/01/2022

b. End Date: 06/03/2027

18. Estimated Funding ($):

a. Federal	44,904,534.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	44,904,534.00

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
- [X] 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**

- [X] I AGREE

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

Authorized Representative:

Prefix:

First Name: WILLIAM

Middle Name: J

Last Name: BRAND

Suffix:

Title: Administrator, Community Action Agencies

Telephone Number: (515)281-3268

Fax Number:

Email: Bill.Brand@iowa.gov

Signature of Authorized Representative: Signed Electronically

Date Signed:

Authorized for Local Reproduction

Standard Form 424 (Revised 10/2005)
Prescribed by OMB Circular A-102

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OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009987	2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000	4. Program/Project Start Date	07/01/2022
	5. Completion Date	06/03/2027

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		$ 44,904,534.00		$ 44,904,534.00
2.						
3.						
4.						
5. TOTAL		$ 0.00	$ 0.00	$ 44,904,534.00	$ 0.00	$ 44,904,534.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	(5)
a. Personnel	$ 553,488.00	$ 0.00	$ 830,232.00	$ 0.00	$ 1,383,720.00
b. Fringe Benefits	$ 156,170.00	$ 0.00	$ 234,255.00	$ 0.00	$ 390,425.00
c. Travel	$ 82,085.00	$ 0.00	$ 463,175.00	$ 0.00	$ 545,260.00
d. Equipment	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
e. Supplies	$ 25,000.00	$ 0.00	$ 59,035.00	$ 0.00	$ 84,035.00
f. Contract	$ 0.00	$ 5,699,785.00	$ 0.00	$ 5,690,898.00	$ 41,692,801.00
g. Construction	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
h. Other Direct Costs	$ 84,245.00	$ 0.00	$ 386,960.00	$ 0.00	$ 471,205.00
i. Total Direct Charges	$ 900,988.00	$ 5,699,785.00	$ 1,973,657.00	$ 5,690,898.00	$ 44,567,446.00
j. Indirect Costs	$ 134,835.00	$ 0.00	$ 202,253.00	$ 0.00	$ 337,088.00
k. Totals	$ 1,035,823.00	$ 5,699,785.00	$ 2,175,910.00	$ 5,690,898.00	$ 44,904,534.00
7. Program Income	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

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OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009987	2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000	4. Program/Project Start Date	07/01/2022
	5. Completion Date	06/03/2027

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	$ 44,904,534.00	$ 0.00	$ 44,904,534.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3)	(4)	(5)
a. Personnel	$ 0.00	$ 0.00			$ 1,383,720.00
b. Fringe Benefits	$ 0.00	$ 0.00			$ 390,425.00
c. Travel	$ 0.00	$ 0.00			$ 545,260.00
d. Equipment	$ 0.00	$ 0.00			$ 0.00
e. Supplies	$ 0.00	$ 0.00			$ 84,035.00
f. Contract	$ 24,242,064.00	$ 6,060,054.00			$ 41,692,801.00
g. Construction	$ 0.00	$ 0.00			$ 0.00
h. Other Direct Costs	$ 0.00	$ 0.00			$ 471,205.00
i. Total Direct Charges	$ 24,242,064.00	$ 6,060,054.00			$ 44,567,446.00
j. Indirect Costs	$ 0.00	$ 0.00			$ 337,088.00
k. Totals	$ 24,242,064.00	$ 6,060,054.00			$ 44,904,534.00
7. Program Income	$ 0.00	$ 0.00			$ 0.00

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U.S. DEPARTMENT OF ENERGY

BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Iowa
Award number: EE0009987

Budget period: 07/01/2022 - 06/03/2027

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

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

Position	Description of Duties of Professionals
Program Specialist - Fiscal	Develop and monitor ongoing grantee budget categories. Manages the computerized reporting system including providing statistical analysis of WAP database. Provides technical assistance to sub-grantees on the reporting system.
Weatherization Trainer	Provide specific training to sub-grantee network. Will work with the QCI to gain field experience toward QCI certification
Technical Monitor/QCI	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 Monitor/QCI	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	Assists in developing and implementing administrative policies and procedures, monitoring tools, WAP Field Guide and Standards, and contracts with sub-grantees. Conducts data analysis focusing on program performance.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
Program Specialist - Fiscal	$276,744.00	100.0000 % FT	$276,744.00
Weatherization Trainer	$276,744.00	100.0000 % FT	$276,744.00
Technical Monitor/QCI	$276,744.00	100.0000 % FT	$276,744.00
Technical Monitor/QCI	$276,744.00	100.0000 % FT	$276,744.00
Program Specialist	$276,744.00	100.0000 % FT	$276,744.00
		Direct Pay Total	$1,383,720.00

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.

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All of the WAP personnel are state employees covered under a collective bargaining agreement . Fringe benefits are determined by the State of Iowa Department of Administrative Services .

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

Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
Program Specialist - Fiscal	$276,744.00	28.2156 %	$78,084.98
Weatherization Trainer	$276,744.00	28.2156 %	$78,084.98
Technical Monitor/QCI	$276,744.00	28.2156 %	$78,084.98
Technical Monitor/QCI	$276,744.00	28.2156 %	$78,084.98
Program Specialist	$276,744.00	28.2156 %	$78,084.98
		Fringe Benefits Total	$390,424.90

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
Administrative Monitoring	80	$600.00	$48,000.00
Training - provide required specific training to sub-grantee personnel - includes NEAT/MHEA, Moild & Moisture, Furnace and Combustion H&S, Basic Auditor and Blower Door& Zone pressures. Help sub-grantee network trouble shoot problem houses	60	$600.00	$36,000.00
Conference (Code Compliance, ASHRAE, RESNET, Energy Out West and HPC regional and national conferences) for grantee staff to stay current with new WAP techniques.	40	$3,500.00	$140,000.00
IWAC meeting - Grantee staff attends each meeting to discuss on-going issues with the network of sub-grantee coordinators	50	$250.00	$12,500.00
Fiscal Monitoring	80	$550.00	$44,000.00
NASCSP Meetings	25	$4,000.00	$100,000.00
Technical Monitoring - includes review of work in process as well as completed jobs.	105	$600.00	$63,000.00
WIPFLI Conference for Fiscal and Administrative monitors	15	$4,000.00	$60,000.00
On-site technical assistance provided to sub-grantees by grantee staff.	80	$522.00	$41,760.00
		Travel Total	$545,260.00

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

Required monitoring activities are budgeted based on past trips.
Other meetings including NASCSP, ASHRAE, EOW, Code Compliance, Home Performance (HPC), WIPFLI, IWAC and DOE meetings are necessary for grantee and subgrantees to stay current on policies and procedures.
The training travel is necessary for state staff to provide specific (Tier 2) training to subgrantee 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 subgrantee staff.
On-site technical assistance is provided to sub-grantees on an as-needed basis. This would include trouble shooting problem houses and providing administrative assistance to new subgrantee staff.

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

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

Equipment	Unit Cost	Number	Total Cost	Justification of Need

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

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

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

General Category	Cost	Justification of Need
Misc. tools, training supplies	$37,500.00	Used during inspections of homes and for training.
Office supplies.	$46,535.00	General office supplies to administer the program and maintain records.
Materials and Supplies Total	$84,035.00	

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

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

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

Name of Proposed Sub	Total Cost	Basis of Cost*
Sub-Grantees (Admin, Health & Safety and Program Operations)	$36,001,903.00	Based on state formula for sub-grantees.

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Sub-grantee T&TA	$5,690,898.00	Each sub-grantee is provided T&TA to provide weatherization training to staff. These funds will be used for registration, salary/fringe, travel and per-diem to attend the training and conferences. Each agency is required to provide Comprehensive HEP Energy Auditor or QCI training to employees. T&TA funds may also be used for specific training provided by grantee or other sources.
Contracts and Subgrants Total	$41,692,801.00	

*For example, Competitive, Historical, Quote, Catalog

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

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

General Description	Cost	Justification of Need
Specific (Tier 2) Training	$159,385.00	To provide specific training to new grantee staff about testing measure installation, reporting and inspection procedures. Also provide BPI specific training.
Dues- Energy Out West, NASCSP, etc.	$70,320.00	To maintain the grantee membership in NASCSP organization. This group provides training and technical assistance to the grantee for both administrative and programmatic services to clients. To establish grantee membership in Energy Out West as a strong provider of weatherization related training and information.
Comprehensive (Tier 1) Training	$50,000.00	To allow DCAA employees to attend Energy Auditor and/or QCI training refresher courses. This will include the cost of certification or renewal. DCAA will provide T&TA funds to subgrantees through the contracts to obtain comprehensive training.
Iowa Weatherization Conference	$100,000.00	To provide a statewide conference for sub-grantee network employees. This may include training on fiscal planning, state database, ASHRAE, utility programs, lead testing and work practices requirements, asbestos certification and administrative management.
Printing/Postage/Phone	$91,500.00	These items are directly related to the Weatherization Program and are not included in the indirect costs. This provides services needed for Grantee staff to perform their job duties. This lists not only administrative costs, but includes the cost of mobile phone service charged to T&TA.
Other Direct Costs Total	$471,205.00	

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

All costs included in "Other Costs" are properly segregated from Indirect costs and are not duplicated. All costs proposed are used in support of the Weatherization Program only.
Estimated costs are based on historical spending detail.
Printing, postage and phone include not only administrative costs, but those costs charged to T&TA for mobile phone service.
Dues - based on historical data.
Comprehensive and specific training costs are based on estimated fees charged for training locations, trainers and other related costs.

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8. INDIRECT COSTS

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

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

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

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

Name: Jim Mezera Phone Number: 5152818537

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
Grantee T&TA Salaries and Fringe	$1,064,487.00	19.0000 %	$202,252.53
Grantee Administration	$709,658.00	19.0000 %	$134,835.02
		Indirect Costs Total	$337,087.55

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OMB Control No: 1910-5127
Expiration Date: 05/31/2023

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
01 Community Opportunities, Inc (Carroll)	$2,130,576.00 149
02 Hawkeye Area Community Action Program (Hiawatha)	$6,105,185.00 483
03 Community Action of Eastern Iowa (Davenport)	$3,520,249.00 266
04 MATURA Action Corporation (Creston)	$953,313.00 50
05 Mid-Iowa Community Action Agency (Marshalltown)	$2,706,605.00 198
06 Mid-Sioux Opportunity, Inc. (Remsen)	$1,266,529.00 77
09 Northeast Iowa Community Action Corporation (Decorah)	$2,008,168.00 139
11 Operation Threshold (Waterloo)	$2,854,214.00 210
12 IMPACT Community Action Partnership (Des Moines)	$1,302,531.00 80
13 South Central Iowa Community Action Program (Chariton)	$996,515.00 54
14 Community Action of Southeast Iowa (Burlington)	$1,907,364.00 130
15 Southern Iowa Economic Development (Ottumwa)	$2,238,582.00 158
16 Upper Des Moines Opportunity, Inc. (Graettinger)	$3,646,254.00 277
17 West Central Community Action (Harlan)	$2,670,603.00 195
18 Community Action of Siouxland (Sioux City)	$1,954,165.00 134
20 Polk County Board of Supervisors (Des Moines)	$5,431,948.00 427
Total:	**$41,692,801.00** **3,027**

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IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	2,950
Reweatherized Units	77

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	2,950
C	Total Units Reweatherized	77

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	3,027
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	$24,242,064.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	3,027
H	Average Program Operations Costs per Unit (F divided by G)	$8,008.61
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	$0.00
J	Total Average Cost per Dwelling (H plus I)	$8,008.61

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	3027	29.3	88691
Prior Year Estimate	474	29.3	13888
Prior Year Actual	597	29.3	17492

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

DCAA does not use DOE funds for leveraging activities.

IV.5 Policy Advisory Council Members

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

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

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

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

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
09/27/2022	Public hearing notice was posted on September 27, 2022 in the Iowa Weatherization website, the Iowa Department of Human Rights Facebook page and Twitter account. Notices were also sent to the Iowa Community Action Association and all subgrantees along with a copy of the the proposed plan. The notice is attached to the SF-424. The virtual public hearing was held on September 27, 2022.

IV.7 Miscellaneous

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

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

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. There is currently one vacant seat on the commission.

1. Three of the commissioners are elected officials. Those individuals have been identified as such in the PAC list.

2. Three of the commissioners represent low-income. Type of Organization is listed as Other in the PAC list.

3. Three of the commissioners represent private business and industry. Type of Organization is listed as For-Profit or Corporate in the PAC list.

The PAC met on September 27, 2022 to approve the 2022 Weatherization State Plan. A copy of the minutes from that meeting are attached to the SF-424.

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

DCAA projects an average project cost of $8,009 for program year 2022. The actual average cost (without Health and Safety) for completions in Iowa is $12,928 with a portion of that paid by other non-DOE funds. Since those funds are subject to change, not guaranteed, DCAA budgets the maximum average allowed by DOE for each of the sub-grantees. If those other funds are available, then the DOE funded average will be lower and additional homes will be completed using DOE funds.

Davis Bacon Act Compliance

Bill-funded weatherization work on multi-family buildings with no fewer than 5 units will be required to pay wages to all laborers and mechanics (whether employed by a contractor or subcontractor) wages "at rates not less than those prevailing on similar projects in the locality, as determined by the Secretary of Labor". The method in which compliance will be monitored will be established once DOE has developed instructions and released guidance.

Buy American Provisions

Publicly-owned buildings that are weatherized must comply with the Buy American provision and will be monitored by the Grantee. The method in which compliance will be monitored will be established once DOE has developed instructions and released guidance.

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U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

Name: **01 Community Opportunities, Inc**

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

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

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

Tentative allocation: $ 2,130,576.00
Planned units: 149
Type of organization: Local agency

Congressional districts served:

CD
IA-03
IA-04

Source of labor: Contractors

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

Address: 1515 Hawkeye Drive
Hiawatha, IA 52233-0000

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

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

Tentative allocation: $ 6,105,185.00
Planned units: 483
Type of organization: Local agency

Congressional districts served:

CD
IA-02
IA-01

Source of labor: Agency and Contractors

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

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

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

Counties served: CLINTON County, CEDAR County, MUSCATINE County, SCOTT County

Tentative allocation: $ 3,520,249.00
Planned units: 266
Type of organization: Local agency

Congressional districts served:

CD
IA-02

Source of labor: Agency and Contractors

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U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

Name: **04 MATURA Action Corporation**

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

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

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

Tentative allocation: $ 953,313.00
Planned units: 50
Type of organization: Local agency
Source of labor: Contractors

Congressional districts served: CD IA-03

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

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

Contact: Terri Tague
UEI: ENJVY1JCNJC3
DUNS: 107350035
Phone: (641) 752-7162
Fax: (641) 752-9724
Email: ttague@micaonline.org

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

Tentative allocation: $ 2,706,605.00
Planned units: 198
Type of organization: Local agency
Source of labor: Contractors

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

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

Address: 418 Marion St
Remsen, IA 51050-0000

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

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

Tentative allocation: $ 1,266,529.00
Planned units: 77
Type of organization: Local agency
Source of labor: Contractors

Congressional districts served: CD IA-04

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U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

Name: **09 Northeast Iowa Community Action Corporation**

Address: 305 Montgomery
Decorah, IA 52101-0000

Contact: Scott Fischer
UEI: JN9ZJML554M9
DUNS: 098025059
Phone: (563) 382-8436
Fax: (563) 382-9854
Email: sfischer@neicac.org

Counties served: WINNESHIEK County, MITCHELL County, HOWARD County, FAYETTE County, FLOYD County, CHICKASAW County, CLAYTON County, ALLAMAKEE County, BREMER County

Tentative allocation: $ 2,008,168.00
Planned units: 139
Type of organization: Local agency

Source of labor: Agency and Contractors

Congressional districts served:	CD
	IA-04
	IA-01

Name: **11 Operation Threshold**

Address: 1535 Lafayette
P.O. Box 4120
Waterloo, IA 50704-0000

Contact: Joe Ambrose
UEI: NPHUT8CN44K6
DUNS: 078094877
Phone: (319) 291-2065
Fax: (319) 235-1518
Email: jambrose@operationthreshold.org

Counties served: GRUNDY County, BUTLER County, BLACK HAWK County, BUCHANAN County, FRANKLIN County

Tentative allocation: $ 2,854,214.00
Planned units: 210
Type of organization: Local agency

Source of labor: Agency and Contractors

Congressional districts served:	CD
	IA-04
	IA-01

Name: **12 IMPACT Community Action Partnership**

Address: 3226 University Ave
Des Moines, IA 50311-0000

Contact: Jen Heitoff
UEI: PF2YNQCKL161
DUNS: 163976731
Phone: (515) 777-7566
Fax: (515) 273-9833
Email: jheitoff@impactcap.org

Counties served: WARREN County, BOONE County, MARION County

Tentative allocation: $ 1,302,531.00
Planned units: 80
Type of organization: Local agency

Source of labor: Contractors

Congressional districts served:	CD
	IA-04
	IA-02
	IA-03

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U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

Name: **13 South Central Iowa Community Action Program**

Address: 1711 Osceola Ave, suite 103
Chariton, IA 50049-0000

Contact: Brenda McKnight
UEI: U8MGMBASYEG3
DUNS: 161917281
Phone: (641) 774-8133
Fax: () -
Email: bmcknight@scicap.org

Counties served: CLARKE County, DECATUR County, LUCAS County, MONROE County, WAYNE County

Tentative allocation: $ 996,515.00
Planned units: 54
Type of organization: Local agency
Source of labor: Contractors

Congressional districts served: CD IA-02

Name: **14 Community Action of Southeast Iowa**

Address: 2850 Mt. Pleasant Street, Suite 108
Burlington, IA 52061-0000

Contact: Jim Blackwell
UEI: MFS1MU9NBEM7
DUNS: 094782687
Phone: (319) 753-0193
Fax: (319) 753-0887
Email: jim.blackwell@caofseia.org

Counties served: LOUISA County, LEE County, HENRY County, DES MOINES County

Tentative allocation: $ 1,907,364.00
Planned units: 130
Type of organization: Local agency
Source of labor: Agency and Contractors

Congressional districts served: CD IA-02

Name: **15 Southern Iowa Economic Development**

Address: 725 W. Second Street
P.O. Box 658
Ottumwa, IA 52501-0000

Contact: Jennifer Fleener
UEI: K3WSBQKJ5XK3
DUNS: 040588170
Phone: (641) 682-8741
Fax: (641) 682-2026
Email: jfleener@sieda.org

Counties served: APPANOOSE County, DAVIS County, JEFFERSON County, KEOKUK County, MAHASKA County, VAN BUREN County, WAPELLO County

Tentative allocation: $ 2,238,582.00
Planned units: 158
Type of organization: Local agency
Source of labor: Contractors

Congressional districts served: CD IA-02

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WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

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

Address: 101 Robins Ave.
Graettinger, IA 51342-0000

Contact: Kyle Dietrich
UEI: KA5CFKGE28C9
DUNS: 061317236
Phone: (712) 859-3885
Fax: (712) 859-3892
Email: kdietrich@udmo.com

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

Tentative allocation: $ 3,646,254.00
Planned units: 277
Type of organization: Local agency

Congressional districts served:

CD
IA-04
IA-01

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 Mahlberg
UEI: GRCPAJLN7JS1
DUNS: 068675354
Phone: (712) 755-5135
Fax: (712) 755-5999
Email: kmahlberg@westcca.org

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

Tentative allocation: $ 2,670,603.00
Planned units: 195
Type of organization: Local agency

Congressional districts served:

CD
IA-04
IA-03

Source of labor: Contractors

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OMB Control No: 1910-5127
Expiration Date: 05/31/2023

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009987 Program Year: 2022

Name: **18 Community Action of Siouxland**

Address: 2700 Leech
Sioux City, IA 51106-0000

Counties served: WOODBURY County
MONONA County

Tentative allocation: $ 1,954,165.00
Planned units: 134
Type of organization: Local agency
Source of labor: Contractors

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

Congressional districts served: CD IA-04

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

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

Counties served: POLK County

Tentative allocation: $ 5,431,948.00
Planned units: 427
Type of organization: Unit of local government
Source of labor: Contractors

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

Congressional districts served: CD IA-03

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OMB Control No: 1910-5127
Expiration Date: 05/31/2023

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

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

The gross income of all household members residing in the household at the time of application shall be counted to determine eligibility. Household members may only be listed on one application per year. Verification of income is required of all participants before an application is complete with the exception 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 may also be accepted. If an applicant refuses to produce proof of income and does not authorize the agency to verify earnings, the applicant shall not be eligible for program benefits. Verification of income will be provided before eligibility may be certified. An applicant may elect to use the most recent 30 days, the last 12 months, or the most recent calendar year as a qualification period. If an applicant is not eligible under the time period first selected, one of the alternative periods may be selected to qualify. The applicant must be informed of the right to select different qualification periods. In an effort to qualify clients for the LIHEAP program, this process was established by LIHEAP and followed by all subgrantees to determine eligibility for both LIHEAP and WAP.

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

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

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

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

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

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

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. Subgrantees are required to maintain records that include documentation of client eligibility. The local subgrantees maintain records of previously weatherized dwelling units in a database. The database is checked prior to scheduling a household for service to ensure that the 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 subgrantee 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 are not eligible for reweatherization if completed within the past 15 years.

Property ownership is verified and documented by using the County Assessors websites. Printouts showing ownership of each house are maintained in household files.

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. Income documentation for renters meets the same requirement as owner-occupied units. That documentation is established through the LIHEAP intake process.

Describe Reweatherization compliance

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

Dwellings that were originally weatherized with any source of federal funds between September 30, 1975 and September 30, 2005, 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, 2005. In declared disaster areas, homes weatherized since October 1, 2005 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.

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

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

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

Describe how Rental Units/Multifamily Buildings will be addressed

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

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

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.

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0009987, State: IA, Program Year: 2022)

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

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

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

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

Sub-grantees will use an agreement, signed by the owner, which states the following:

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

In the event of a dispute between the tenant and the landlord regarding the issues listed above, the 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 and/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:
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 with family/landlord approval 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.

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

When a dwelling:

- Is posted as being "For Sale" or is known to be for sale (except homes currently in a housing rehabilitation program).
- Has an cumulative SIR of <1.0
- Is scheduled for demolition or 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 audit or weatherization services cannot be done.
- Is beyond the scope of the program due to major structural deficiencies or is in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner. Examples would be dwellings requiring a new roof or foundation repair or where lead exposure cannot be mitigated with safe work practices.
- One or more health and safety hazards exist that must be corrected by the 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 been improperly set. 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.
  - Has a fireplace or heating stove drawing combustion air from inside the dwelling.
  - 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.

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

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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 subgrantees 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 subgrantees that have the capacity to meet the needs of the local areas they serve. The Code of Federal Regulations, 10 CFR, Part 440, requires states to give preference to Community Action Agencies and other non-profit entities when selecting subgrantees to administer local weatherization programs.

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

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

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

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

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

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

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

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V.3 Priorities

Iowa uses the five DOE priority categories. The category High Energy Burden is defined as households eligible for LIHEAP. Therefore, the LIHEAP client list becomes WAP waiting list each year. Clients not eligible for LIHEAP, but who applied for the program are also included in the data received from LIHEAP. Other clients, who did not apply for LIHEAP may make application for weatherization at any time during the year and be placed on the waiting list. Priority for those on the list is given to households with the highest energy usage (greatest potential for savings) 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 reason only. 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 subgrantee 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 5781 heating degree days in the southeast portion of the state to a high of 7155 heating degree days in the north portion of the state using a base of 65° F. The heating degree statewide average is 6,492. 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 subgrantee uses the heating degree-day data provided with the NEAT/MHEA Audit that is most appropriate to its geographical service area.

HDD/CDD data is from AccuWeather. The HDD/CDD 15-year (2006 - 2021) average for each subgrantee was calculated by summing the data for county weather site for each subgrantee area and then calculating the average of that number.

Heating and Cooling Degree Days 15 year average

Agency	HDD Average	CDD Average
New Opportunities	6679	1248
HACAP	6351	899
Eastern Iowa	6402	1033
MATURA	6336	1019
MICA	6946	910
Mid Sioux	7071	962
Northeast Iowa	7142	770
Threshold	6552	928
IMPACT	6047	1298
SCICAP	6003	1144
Southeast Iowa	5781	1218
SIEDA	6212	1073
Upper Des Moines	7155	969
West Central	6388	1104
Siouxland	6772	1072
Polk County	6047	1298
State Averages	6492	1059

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

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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 2016 (Copy in the Document Library)
- The Weatherization Standards and Field Guide Manual - last updated 2021 (Copy in the Document Library)
- The Weatherization General Appendix - last updated 2014
- The NEAT Audit Manual - last updated 2018, currently in the process of updating library costs
- The MHEA Audit Manual - last updated 2018, currently in the process of updating library costs
- Various State Program Notices - issued as needed

The current Weatherization Standards and Field Guide Manual along with Variance Requests were approved by DOE in 2021. There have been no substantial changes since that time.

subgrantee contracts include the following language:

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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 and Field Guide 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 subgrantees are in receipt of and responsible for all the required work.

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

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

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

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

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

All of the manuals and notices are distributed to subgrantees and made available to subgrantees and state staff on-line.

Other items made available on-line to subgrantees include:

- Annual subgrantee 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 subgrantee level

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

The Iowa Weatherization Program also utilizes a software package for ASHRAE 62.2 2016 calculations, REDCalc, which is from Residential Energy Dynamics.

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

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

Field guide types approval dates

Single-Family:
Manufactured Housing:

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Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: NEAT
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: MHEA
Approval Date:

Audit Procedure: Multi-Family
Audit Name: No Audit/Priority List for this building type
Approval Date:

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.

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

Multi-Unit Dwellings (dwellings containing 5 or more units):
Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. In PY2021 there were no multi-unit dwellings weatherized. If a multi-unit dwelling is at the top of the prioritized waiting list, an outside contractor will be utilized to perform a DOE approved audit on the structure. Multi-unit projects will be submitted to the DOE Project Officer prior to weatherization as specified in WPN 19-4 Section 1.

V.5.3 Final Inspection

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

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

Before reporting a unit as complete, each subgrantee is required to conduct a final inspection using criteria that align with the quality specifications outlined in Section 1 of WPN 15-4 to ensure the following:

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

Subgrantees 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.

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

Grantee QCI monitoring will include 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.

All manuals and notices are distributed to subgrantees via email, hard copy and made available to subgrantees and state staff online.

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

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

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

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

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

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

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

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

DCAA Policy for Subgrantee QCI
DCAA will use the DOE-prescribed QCI Policy as described below.

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

Independent QCI: For the subgrantee that 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 subgrantees.

QCI Mentorship Option

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

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

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

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

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

V.6 Weatherization Analysis of Effectiveness

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

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

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

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

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

DCAA utilizes a "Risk Assessment" worksheet for each subgrantee to track performance goals and monitoring results. This assessment tracks subgrantee financial audits, monthly reports, key personnel, and monitoring results to assign a risk level. Higher risk subgrantees will be offered additional technical assistance in any areas of weakness. Additional monitoring will also be scheduled to track subgrantee improvements. DCAA will review all subgrantee risk assessments to determine if any patterns exist. If recognized, additional training or clarification of policies will be provided.

V.7 Health and Safety

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

DCAA developed the H&S Plan for 2022 utilizing WPN 22-7, WPN 22-7 Table of Issues.

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

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

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

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V.8 Program Management

V.8.1 Overview and Organization

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

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

- The Weatherization Policy and Procedures Manual
- The Weatherization Standards and Field Guide Manual
- The Weatherization General Appendix
- The NEAT Audit Manual
- The MHEA Audit Manual
- 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 15 percent of the DOE grant will be used by the state and the subgrantees for administration of the DOE funds. Also, not more than 7.5 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 subgrantees who receive grants of less than $350,000 up to an additional 5 percent administrative funds. Every subgrantee has the same core team of administrative personnel and expenses. In order for every sub-grantee to meet the cost of the core administrative functions, each of the eligible 12 subgrantees will receive up to 5% additional administrative funds in order to properly administer the program.

V.8.3 Monitoring Activities

Iowa Weatherization monitoring staff include two (2 DOE FTE) technical monitors, one full-time and one part-time (1.05 DOE FTE) administrative monitors and one half (.5 DOE FTE) fiscal monitors. All DOE FTE are paid with T&TA funds. One fiscal monitor is not paid directly with DOE funds. The balance of the part-time administrative monitor is paid with non-DOE 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 34% of T&TA will be used to complete required monitoring. If needed, other non-DOE funds will also be utilized to meet monitoring requirements.

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 and HHE Certified. They have attended various industry courses such as training on Manual J, building codes, and will receive continuing education as required to maintain certification.
- Administrative monitors have received training on Iowa Weatherization Policies and Procedures and technical requirements, purchasing guidelines, and OMB Circular and 2 CFR part 200 training.
- Financial monitors have training in accounting and auditing, OMB Circulars requirements, 2 CFR part 200 requirements and Iowa Weatherization Policies and Procedures.

Monitoring is done to evaluate subgrantee programmatic and fiscal compliance and accountability of installation of weatherization with respect to program rules, regulations, policies and procedures and to ensure quality work with respect to the measures in dwellings. Technical assistance is provided to subgrantees as an integral part of monitoring. The technical monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized.

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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 subgrantee director and give their recommendations for improvement. The monitors conduct an entrance interview, upon request, and an exit interview with agency staff and the agency director or designee.

If a subgrantee has continuing major issues identified by technical, administrative or fiscal monitoring, it may be determined to be "at-risk". In that case, the subgrantee would be notified in writing of that status and be required to submit, for 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 subgrantee would also be required to submit, at a minimum, monthly updates on the progress of meeting the details of the Corrective Action Plan. Any at-risk subgrantee would be subject to additional monitoring until all identified issues are eliminated. Subgrantee staff may be required to take additional technical training or be provided one-on-one training by grantee technical staff.

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

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

Technical Quality Assurance Monitoring
Technical monitoring of completed houses is conducted for all subgrantees during the program year. Inspections will be completed on at least 5 percent (10% for subgrantees where the auditor and QCI are the same person) of the houses completed. Currently all 16 agencies have at least one QCI on staff. Technical monitors will also complete reviews on "in-process" units to ensure the accuracy and quality of the initial audit.

The technical monitors conduct a final inspection of each completed unit using criteria that align with the quality specifications outlined in Section 1 of this WPN 15-4 which includes a review of the quality of the subgrantees' evaluations and inspections as well as the quality of the work that was completed on the house. Each house inspected will be reviewed for compliance with the following:

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

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

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

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

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

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

- Review of client/house and contractor files to ensure compliance with documentation of eligibility and other requirements
- Review of client/house files to ensure units are inspected prior to reported as complete
- Review of client/house files to ensure a completed inspection report is present
- Review of NEAT Audit reports
- Review of required health and safety documentation
- Review of contracts to ensure compliance with requirements
- Review of contractor insurance coverage
- Review of subgrantee weatherization procurement procedures
- Determination of compliance with client priority and client service by county

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- 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 subgrantee to discuss observations and findings from the on-site review. Written monitoring reports will be sent to the subgrantee within 30 work days of the review being completed. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the program monitoring report requires a response, the subgrantee must respond, in writing, to the DCAA within 45 days of receiving the report. A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer describing the problems at the agency. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the 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 subgrantees' monthly fiscal reports and their most recent annual financial audits. On-site financial monitoring consists of reviewing fiscal operations for compliance with rules and procedures. Each agency is monitored annually. Fiscal monitoring will include, at a minimum, the following:

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

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

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

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

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

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Individual subgrantee training needs identified by performance monitoring will be met by either one-to-one training or small group sessions targeting those weak areas. These sessions will either by in-house training staff or by bringing in outside trainers to meet the needs of the subgrantees. DCAA will also explore the possibility of establishing a training center at a local subgrantee(s).

Training needs, including those necessary to comply with the health and safety plan, will be met with a combination of DOE and other 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 subgrantee technical assistance and training needs:

- subgrantees are asked to identify statewide and individual subgrantee technical and administrative training needs during the annual monitoring visits or group meetings.
- In-house and on-site program and fiscal monitoring of the subgrantees 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 subgrantees is used to identify agency specific technical or programmatic technical assistance needs.
- Annual evaluations of the Iowa Weatherization Program are used to identify technical training needs.

Overall Training

The training of subgrantees is done through subgrantee-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 subgrantee auditors and inspectors. The state believes this practice best assures the standardization of weatherization procedures and practices throughout the state.

subgrantees will be allocated DOE T&TA funds to attend various weatherization related conferences and meetings. The funds will be used for registration, travel, meals and lodging to attend. The T&TA funds may also be used to pay for testing fees for those subgrantee staff attempting to obtain HEP certifications. The state also provides subgrantees 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.

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

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

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

Specific Training

The state does not require certification of subgrantee 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 Specific training. Each of these classes will be offered once during 2022 and will be scheduled as enough subgrantee staff express a need. Subgrantee staff must be supervised until they have received all required training. Occasionally the required training is provided one-on-one if needed. More classes will also be scheduled if needed.

- Basic Evaluator
- NEAT and MHEA Audit
- Mold/Moisture/Ventilation/ASHRAE 62.2
- Advanced Blower Door/Zonal Pressure Diagnostics
- Furnace/Combustion Health & Safety

Other, as needed trainings, will be specific to monitor-identified weak areas at subgrantees. These could include administrative training for subgrantee weatherization office staff, training subgrantees to use the database properly, working with subgrantee auditors to sharpen the testing skills required for weatherization. DCAA also provides one-on-one sessions for subgrantee staff preparing to complete the field test for QCI certification.

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.

Subgrantee staff who do not attend DCAA mandated training when offered, must schedule on-site training within 30 days with grantee staff to demonstrate proficiency in the specific work detail.

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

DCAA will conduct a information training/meeting for all subgrantee program directors, auditors and inspectors to go over program changes including health and safety, standards/field guide and policies.

Comprehensive Training

DCAA will provide subgrantees with T&TA funds to obtain either QCI and/or Energy Auditor training for currently certified staff. Subgrantee certified staff who need to recertify in the next year will be able to use the T&TA funds for refresher courses and/or testing opportunities. The crew-based subgrantees will be able to provide Crew Leader and Retrofit Installer training to those individuals. Any remaining allocated T&TA funds may be used by subgrantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences. The subgrantees will determine need for comprehensive training and be monitored by DCAA.

DCAA will work with subgrantees to develop policies which meet all requirements outlined in the application instructions allowing contractors at the subgrantee level to receive Comprehensive training. If a contractor is interested in the Comprehensive training (usually the Retro-fit Installer training), a retention agreement will be required and a reimbursement rate will be negotiated. Once these policies are established, they will be submitted to the Project Officer for approval.

By definition, Comprehensive (Tier 1) Training must be administered by, or in cooperation with, a training program that is accredited by a DOE-approved accreditation organization for the JTA being taught. In order to meet this requirement, subgrantees will work with IREC accredited WAP training centers provide the training.

Technical Assistance
Technical assistance is provided to subgrantees during on-site visits, at state meetings, at subgrantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins. State staff meet with new subgrantee program administrative staff to provide training and review all requirements of the program. All subgrantee program staff (including fiscal) are encouraged to take advantage of available conferences and online training opportunities. Technical assistance 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. Monitoring reports and risk assessment from 2021 reviews will be used to determine if any subgrantee specific training is required.

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

Subgrantee Productivity and Energy Savings
The state collects and monitors subgrantee productivity on a monthly basis. Concerns about productivity with specific subgrantees are discussed with those subgrantees. The state conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each subgrantee. Results of the productivity monitoring and the energy savings analysis are used to determine subgrantee-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 subgrantees during on-site visits and state meetings.

Client Education

subgrantees will provide client education when they go to clients' homes. Energy education will be done by subgrantees 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.

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

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Percent of overall trainings

Comprehensive Trainings:	57.0
Specific Trainings:	43.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	57.0
Percent of budget allocated to Crew/Installer trainings:	2.0
Percent of budget allocated to Management/Financial trainings:	41.0

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

(Grant Number: EE0009987, State: IA, Program Year: 2022)

V.9 Energy Crisis and Disaster Plan

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

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

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

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

Grantee Name

1.0 – General Information

Additional information that does not fit neatly in one of the other sections of this document.
Enter Additional H&S Information Here

2.0 – Budgeting

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

Select which option used below.	
Separate H&S Budget ☑	Contained in Program Operations ☐

3.0 – H&S Expenditure Limits

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

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

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

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

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

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DOE recommends reviewing recent budget requests and compare those to actual H&S expenditures to see if previous budget estimates have been accurate. The resulting Total Average H&S Cost per Unit multiplied by the Grantee's production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee's annual plan.

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

The actual H&S average expenditure for DOE completions Iowa is at 53.86%. The budget is based on 25% of the $8,009 (ACPU)

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

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

Measure Matrix Final.xlsx

4.0 – Incidental Repair Measures

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

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

Roof repair
Siding repair
Wall & ceiling repair if needed to complete insulation. Wall & ceiling repair will be considered infiltration when needed to stop air flow through interior walls/ceilings
Foundation repair
Roof, gable and soffit vents

5.0 – Occupant Pre-Existing or Potential Health Conditions and Hazard Identification and Notification Form(s)

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

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

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- *Provides documentation that allows occupant(s) to self-report known or suspected health concerns as part of initial application for weatherization, during the energy audit, or other part of the weatherization process as specified. Must minimally contain the following:*
  - *Any known risks associated with the measures and materials being installed*
  - *Subgrantee point of contact information for occupant(s)*
  - *Date of screening*

- ***Hazard Identification Notification***
  - *Provides documentation that the occupant and landlord (if applicable), have been informed of any potential hazards identified during the energy audit or intake process. Must minimally contain the following:*
    - *Date(s) of the energy audit/assessment and when the occupant(s) (and landlord, if applicable) was informed of a potential H&S issue*
    - *A clear description of the problem, including any testing results*
    - *A statement indicating if, or when weatherization could continue*

Radon Informed Consent Form

- *Provides documentation that the occupant(s) (and landlord if applicable) have been informed of any potential hazards associated with radon in weatherized dwellings. The form must minimally contain the following:*
  - *An explanation on the potential small risk of increasing radon levels when building tightness is improved. This is based on the results of the Buildings Assessment of Radon Reduction Interventions with Energy retrofits Expansion Study (The BEX Study)*
  - *A list of precautionary measures WAP will install based on EPA Healthy Indoor Environment Protocols.*
  - *Some of the benefits of Weatherization including energy savings, energy cost savings, improved home comfort, and increased safety.*

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

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

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

PRE-EXISTING CONDITIONS:

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

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

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

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

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

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

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

Location where forms have been uploaded/submitted

Separate attachment to SF424 ☐	Separate attachment to H&S Plan ☑

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6.0 – HEALTH AND SAFETY CATEGORIES

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

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

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

Required Actions

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	

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

Allowable Actions

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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If DOE WAP H&S funds are used for any "allowable" actions, detail them here.	
Prohibited Actions	
Concur with DOE Guidance ☑	
Using DOE WAP H&S funds for replacement or installation of secondary heat sources is prohibited.	
Required Testing/Inspection	
Concur with DOE Guidance ☑	Alternative Guidance ☐

- Verify that primary heating systems are present, operable, and performing correctly.
- Conduct combustion appliance testing and visual inspection of all combustion appliances and their related venting.
- Depressurization and spillage testing is required for all Category 1 appliances pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., air or duct sealing, adding exhaust ventilation).
- CO testing is required for all combustion appliances, regardless of venting type.
- Verify proper clearances for all combustion venting types
- Visually inspect the entirety of solid fuel-fired appliance installations (e.g., wood stoves, coal stoves, pellet stoves, fireplaces) including the venting system to ensure it adheres to the applicable code or local authority having jurisdiction. Appliances must be inspected pre- and post-weatherization.
- Conduct pre- and post- weatherization worst case CAZ depressurization testing in spaces having a fireplace or woodstove. Since there is no consensus method for verifying safe operation of fireplaces and woodstoves, Grantees can propose testing policies and limits. If the Grantee does not propose a policy and fireplaces or woodstoves are left operational, the vent must meet national or local codes, or the home cannot be weatherized.
- Safety inspections related to space heaters, fireplaces, and woodstoves must include, but not be limited to, verification of adequate floor protection, and code-compliant clearances to walls and other combustible materials.

Grantee Combustion Testing Action Levels

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Ambient CO in the dwelling

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

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

Ambient Air in CAZ

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

Combustion Safety Test Action Levels

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

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

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Grantee Woodstove & Fireplace inspection/testing policy including actions/limits	
Concur with DOE Guidance ☑	Alternative Guidance ☐
Fireplace or woodstove venting that is left operational after weatherization must meet current local or national standards or the home must be deferred.	
Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐

- Appropriate use and maintenance of units.
- Provide all paperwork and manuals for any equipment installed by weatherization.
- Discuss and provide information on proper disposal of bulk fuel tanks when not removed as part of the weatherization work.
- Where combustion equipment is present, provide combustion safety and hazards information including how to recognize depressurization, dangers of CO poisoning, and fire risks associated with combustion appliance use.

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

Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	

- When suspected friable Asbestos Containing Materials (ACM) are present, including vermiculite, assume they contain asbestos and take precautionary measures to prevent disturbing it during the audit and work unless testing determines otherwise.
- Grantees must have written policy included in their H&S plan for:
  - Identifying and managing suspected ACM that provides for reasonable and necessary precautions to prevent asbestos contamination in the home.
  - Addressing blower door testing where suspected friable ACM is present (as defined by EPA), including vermiculite.

Grantee ACM policy

1. Homes with insul-brick or slate siding will be presumed to have asbestos.

2. EPA and OSHA regulations define asbestos containing materials as material containing 1% or more asbestos. Therefore, if the test results show the vermiculite sample contains less than 1% asbestos, the vermiculite is considered to be non-asbestos containing material and the attic or walls can be insulated.

Grantee Blower Door Testing Policy When Suspected ACM Exists

1. A certified Asbestos Building Inspector may, with client permission, remove a piece of the siding from under a porch or some area that will not be visible to send to a lab for testing. If the test results show less than 1% asbestos, the siding may be removed and the house insulated as usual.

If the test results show 1% or more asbestos, the following procedures will be implemented.

- The siding can be removed and replaced by an asbestos abatement contractor who has a current permit from the Iowa Division of Labor.
- The cost of removal/replacement must be included as an additional cost for wall insulation in the NEAT audit. The individual measure SIR must be =>1 or the measure is not eligible.
- A list of qualified contractors for Iowa can be found at the Iowa Workforce Development website https://www.iowadivisionoflabor.gov/.
- If slate or insul-brick need to be drilled in order to vent furnaces, water heaters, or exhaust fans, a licensed abatement contractor must complete the work.
- This work must be bid out to qualified contractors and contractor files with all required insurance, licenses, permits and trainings, etc. must be maintained by the agency.

2. Vermiculite testing may be completed at laboratories that are accredited by either the National Voluntary Laboratory Accreditation Program (NVLAP) or by the American Industrial Hygiene Association (AIHA) Laboratory Accreditation Industrial Hygiene Program (IHLAP) for the Field Testing (FOT) of polarized Light Microscopy.

- If vermiculite is present, operate the blower door in the pressurization mode.
- Test vermiculite for presence of asbestos.
- If test results indicate there is asbestos in the vermiculite:
  - Work required by NEAT that will not disturb vermiculite may be completed.
  - To reduce the risk of moisture, the attic must be properly ventilated (one square foot of venting for every 300 square feet of attic).
- If the test results indicate there is no asbestos in the vermiculite complete all work required by NEAT.
- In all cases, a copy of the test results will be provided to the client and maintained in the file. If the client refuses to receive the test results, defer work on the home.

Allowable Actions	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S funds are used for any "allowable" actions, detail them here.	

Prohibited Actions
Concur with DOE Guidance ☑

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Using DOE WAP H&S funds for general abatement/removal/or replacement of asbestos siding, thermal system insulation (TSI) or Transite, or vermiculite is prohibited.

Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

- Visually inspect all surfaces (i.e., walls, floors, ceilings, roofs) for suspected ACM prior to drilling or cutting.
- Assume asbestos is present in suspect materials unless testing reveals otherwise.

Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	

Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐

- Formally notify the occupant, and landlord if applicable, in writing:
  - of suspected ACMs that are present and what precautions will be taken to ensure the occupants' and workers' safety during weatherization;
  - of results if testing was performed;
  - not to disturb suspected ACM;
  - When deferral is necessary due to asbestos, occupant, or landlord if applicable, must provide documentation that a certified professional performed the remediation before work continues.

6.3 – Biologicals and Unsanitary Conditions

Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
Deferral where conditions (odors, bacteria, raw sewage, rotting wood, etc.) in the home pose a health risk to occupants and/or weatherization workers or may be worsened by weatherization activities (e.g., air sealing) and will not be resolved by weatherization.		

Allowed Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐
If DOE Funds are used for any "allowable" actions, detail them here.	

Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	
Any unsanitary conditions, including insect pests, animal or bird feces/carcasses or sewage leakage in the work area must be recorded on the Health & Safety Assessment Findings Form.		

Prohibited Testing/Inspection
Concur with DOE Guidance ☑
DOE WAP H&S funds may not be used for testing of materials for biological contaminants.

Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐
Inform occupant in writing of observed biological and unsanitary conditions.	

6.4 – Building Structure and Roofing (e.g., roofing, wall, foundation)

Allowable Actions	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.
Prohibited Actions
Concur with DOE Guidance ☑
Using DOE WAP H&S funds for ***major*** repairs as defined by Grantee's H&S Plan. Using DOE WAP H&S funds for building rehabilitation is prohibited
Define "major" repairs
All non-H&S repairs are included in the NEAT audit SIR. Any repair that the audit will not justify with a cumulative SIR of 1 or greater is considered a major repair and is not permitted.
Required Testing/Inspection

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

Visual inspection of building structure and roofing for damages that compromise building durability and to verify that portions of the home where weatherization will occur are safe for entry and performance of assessments, work, and inspections.
Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.
Prohibited Testing/Inspection
Concur with DOE Guidance ☑
Using DOE WAP H&S funds for any testing/evaluation of structural materials by a third-party is prohibited.
Required Occupant Education

Concur with DOE Guidance ☑	Alternative Guidance ☐

Notify occupant in writing of structurally compromised areas.

6.5 – Code Compliance

Allowable Actions

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.
Prohibited Actions
Concur with DOE Guidance ☑
• Using DOE WAP H&S funds for correction of preexisting code compliance issues not directly related to the installation of specific weatherization measures in the home is prohibited. • Using DOE WAP funds for work on condemned properties and properties where H&S conditions exist that cannot be corrected under this guidance is prohibited
Required Testing/Inspection

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

Visual inspection.
Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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

Concur with DOE Guidance ☑	Alternative Guidance ☐

Inform occupant in writing of observed code compliance issues when it results in a deferral.

6.6 – Electrical

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Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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

Allowable Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

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

Knob & Tube Wiring

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

Manufactured Homes

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

Prohibited Actions
Concur with DOE Guidance ☐
Using DOE WAP H&S funds for ***major*** electrical repairs as defined by the Grantee's H&S plan is prohibited
Define "major" repairs
Any electrical repair work which exceeds the General Health and Safety Repair fund limit (currently $1,500) are prohibited

Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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- Visual inspection for presence and condition of knob-and-tube wiring.
- Evaluate knob-and-tube wiring for safety prior to work.
- Check for alterations that may create an electrical hazard.

Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐

- Provide occupant with written documentation of any electrical hazards identified that will not be addressed by weatherization
- Provide information to occupant on over-current protection, overloading circuits, and basic electrical safety/risks if conditions warrant.

6.7 – Fuel Leaks

Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	

- When a gas leak is found on the utility side of service, the utility service must be contacted, work must be temporarily halted, and the leak must be repaired before work may proceed.
- Fuel leaks that are the responsibility of the occupant (vs. the utility) must be repaired before installing weatherization measures in the home.

Allowable Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

If required, fuel leaks will be repaired and inspected in accordance with the most current IRC adopted by authority having jurisdiction or adopted by the State of Iowa (whichever is stricter).

Prohibited Actions		
Concur with DOE Guidance ☑		

- Using DOE WAP H&S funds to repair leaks that are the responsibility of the utility to correct is prohibited.
- Using DOE WAP H&S funds for environmental cleanup resulting from bulk fuel leaks is prohibited

Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

- Test all exposed gas lines, fittings, valves, and connections for fuel leaks from utility connection to the appliance throughout the home.
- Test all gas appliances for fuel leaks at all connections, valves, fittings, and burners.
- Conduct sensory inspection of all bulk fuels lines and storage tanks to determine if leaks exist.

Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
Prohibited Testing/Inspection	
Concur with DOE Guidance ☑	
Using DOE WAP H&S funds for environmental testing of soil or water is prohibited.	
Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐
Inform occupants in writing of fuel leak testing results, including specific location if fuel leaks are detected.	

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6.8 – Gas Ovens/Stovetops/Ranges

Allowable Actions

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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

Prohibited Actions

Concur with DOE Guidance ☑

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

Required Testing/Inspection

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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

Define action levels for oven CO testing and resulting actions

1. 100-224 PPM install CO detector and inform the client of the problem. Recommend they have it serviced. Weatherization work may continue.
2. 225 PPM or more, the unit will be repaired or replaced.

Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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

Required Occupant Education

Concur with DOE Guidance ☑	Alternative Guidance ☐

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

6.9 – Hazardous Materials

Required Actions

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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

Define "limited" removal of pollutants

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

Allowable Actions

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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

Prohibited Actions

Concur with DOE Guidance ☑

Using DOE WAP H&S funds for Lead, Asbestos, and Radon abatement is prohibited.

Required Testing/Inspection

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Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
Sensory inspection.		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Prohibited Testing/Inspection		
Concur with DOE Guidance ☑		
Using DOE WAP H&S funds for any testing for hazardous materials other than that specifically permitted in the asbestos, lead, and radon sections of this document is prohibited.		
Required Occupant Education		
Concur with DOE Guidance ☑	Alternative Guidance ☐	
• Inform occupant in writing of hazards associated with hazardous waste materials being generated/handled in the home. • Inform occupant in writing of observed hazardous condition and associated risks. • Provide occupant written materials on safety issues and proper disposal of household pollutants.		

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

6.11 – Lead-Based Surface Coverings (Paint, Varnishes, Roofing, etc.)		
Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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

Allowable Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

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

Prohibited Actions
Concur with DOE Guidance ☑

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

Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	

Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐
Follow pre-renovation education requirements per EPA RRP rules.	

6.12 – Mold and Moisture

Allowable Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

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Plumbing Repair

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

Sump Pumps

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

Dehumidifiers

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

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

Site Drainage

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

Gutters and Downspouts

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

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Prohibited Actions		
Concur with DOE Guidance ☑		
• Using DOE WAP H&S funds for mold cleanup is prohibited. • Using DOE WAP H&S funds for window and door replacements is prohibited		
Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
Visual assessment for moisture or mold damage including exterior drainage.		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Prohibited Testing/Inspection		
Concur with DOE Guidance ☑		
Using DOE WAP H&S funds for mold testing of any type is prohibited.		
Required Occupant Education		
Concur with DOE Guidance ☑	Alternative Guidance ☐	
Provide occupant written notification of identified mold/moisture hazards and information regarding the associated hazard.		

6.13 - Occupant Pre-existing or Potential Health Conditions		
Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
• When a person's health may be at risk and/or WAP work activities could constitute an H&S hazard, the occupant is required to take appropriate action based on severity of risk. • Deferral, if occupant risk cannot be mitigated.		
Allowable Actions		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	
If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.		
Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
• Screen occupants for known or suspected health concerns either as part of initial application for weatherization, during the audit, or both. • This is done utilizing the "Occupant Pre-existing or Potential Health Condition Screening Form" required by WPN 22-7.		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Required Occupant Education		
Concur with DOE Guidance ☑	Alternative Guidance ☐	
• Inform occupant in writing of any known risks and provide pre-weatherization screening form. • Provide occupant with Subgrantee point of contact information in writing.		

6.14 – Pests		
Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐

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DOE WAP H&S Funds ☐	Alternative Funds ☑
Deferral of homes where infestation of pests cannot be reasonably removed or poses H&S concern for workers.	
Allowable Actions	
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐
Pest Control ○ Pest removal/extermination is only allowed in cases when weatherization would be deferred otherwise. If pests cannot be reasonably removed, or where removal poses a safety concern for workers, work should be deferred on the house. ○ If necessary, pest and termite treatment will be completed before crawl space upgrade	
Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐
Inform occupant in writing of observed conditions and associated risks.	

6.15 – Radon		
Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	
• Cover exposed dirt floors within the pressure/thermal boundary with a sealed soil gas retarder • Cover sump well/pits with airtight covers • Implement ventilation as required by ASHRAE 62.2-2016		
Allowable Actions		
Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐	

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Vapor Barrier

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

Sump Pumps

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

ASHRAE

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

Prohibited Actions	
Concur with DOE Guidance ☑	
Using DOE WAP H&S funds for radon mitigation is prohibited.	
Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	
Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐

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

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

Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☑	Alternative Funds ☐	
Install CO alarms in every home where alarms are not present or are inoperable in compliance with ASHRAE 62.2-2016 which references NFPA 720 (note: NFPA 720 has been incorporated into NFPA 72).		
Allowable Actions		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☐	

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CO Alarms

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

Smoke Alarms

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

Propane Alarms

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

Prohibited Actions		
Concur with DOE Guidance ☑		
Using DOE WAP H&S funds for replacement of functional smoke or CO alarms that are not beyond the manufacturer's stated lifetime is prohibited.		
Required Testing/Inspection		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☐	
Verify operation and age of installed alarms.		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Required Occupant Education		
Concur with DOE Guidance ☑	Alternative Guidance ☐	

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

6.17 – Ventilation and Indoor Air Quality

Required Actions

Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

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

Allowable Actions

Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑

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

Required Testing/Inspection

Concur with DOE Guidance ☐	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☐	

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

Allowable Testing/Inspection

Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

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

Required Occupant Education

Concur with DOE Guidance ☑	Alternative Guidance ☐

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

6.18 – Water Heaters

(see Combustion Appliances for combustion related requirements)

Allowable Actions

Allowed with DOE WAP H&S Funds ☑	Allowed with Alternative Funds ☐

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

Required Testing/Inspection

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Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	

- Visual inspection of all water heaters and related piping for safety and leaks
- See Combustion Appliances section for related combustion safety testing requirements.

Allowable Testing/Inspection	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	

Required Occupant Education	
Concur with DOE Guidance ☑	Alternative Guidance ☐

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

6.19 – Worker Safety

Required Actions		
Concur with DOE Guidance ☑	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☑	
Adherence to all federal, state, and local worker safety regulations (e.g., OSHA, EPA).		
Allowable Actions		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑	

- All agencies are required to have an agency-wide Health and Safety Plan as outlined by OSHA which must incorporate **these** guidelines.
- All on-site weatherization workers, including Energy Auditors, crews, contractors, and Inspectors are expected to follow OSHA safe work practices, confined spaces, as well as any practices spelled out in these standards.
- All materials will be handled in accordance with manufacturer specification or Safety Data Sheets (SDS) standards to eliminate hazards associated with volatile organic compounds (VOCs), sealants, insulation, contaminated drywall, dust, foams, asbestos, lead, mercury, and fibers.
- Appropriate personal protective equipment (PPE) will be provided to agency staff.
- Workers will be trained on how to use PPE. Workers will be expected to always use appropriate PPE during work

Prohibited Actions
Concur with DOE Guidance ☑
Using DOE WAP H&S funds for ***major*** repairs as defined by the Grantee's H&S Plan is prohibited.
Define "major" repairs
All non-H&S repairs are included in the NEAT audit SIR. Any repair that the audit will not justify with a cumulative SIR of 1 or greater is considered a major repair and is not permitted.

Allowable Testing	
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☑
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.	

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6.X – (Insert Additional H&S Items for Use of DOE WAP H&S funds)		
Required Actions		
Concur with DOE Guidance ☐	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☐	
Insert required item text		
Allowable Actions		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☐	
If DOE WAP H&S Funds are used for any "allowable" actions, detail them here.		
Prohibited Actions		
Concur with DOE Guidance ☐		
What is prohibited		
Required Testing/Inspection		
Concur with DOE Guidance ☐	Alternative Guidance ☐	Results in Deferral/Referral ☐
DOE WAP H&S Funds ☐	Alternative Funds ☐	
Insert required item text		
Allowable Testing/Inspection		
Allowed with DOE WAP H&S Funds ☐	Allowed with Alternative Funds ☐	
If DOE WAP H&S Funds are used for any "allowable" testing, detail them here.		
Prohibited Testing/Inspection		
Concur with DOE Guidance ☐		
What is prohibited		
Required Occupant Education		
Concur with DOE Guidance ☐	Alternative Guidance ☐	
Insert required item text		

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H&S Measure Matrix			
Double Click To Open For Editing			
Cells This Shade Auto-Calculate			
Measure	Average Cost	Frequency Installed/Completed	Auto-Calculated Average Cost
Vapor/moisture barrier	$539.57	41.5%	$223.74
Pressure balancing	$108.50	10.2%	$11.02
Guttering/grading	$395.14	9.0%	$35.67
Electrical repair	$322.50	22.1%	$71.41
Dehumidifier	$372.38	1.1%	$4.20
Sumps	$355.34	4.1%	$14.53
Plumbing repair	$311.06	20.6%	$64.05
Minor asbestos removal	$500.00	0.1%	$0.70
Pest control/removal	$425.67	0.8%	$3.60
K&T damming	$299.04	3.8%	$11.39
Water heater replacement	$1,835.70	53.6%	$983.88
Water heater repair	$105.39	9.5%	$9.96
Water heater venting	$177.69	41.2%	$73.18
Mechanical ventilation	$1,091.31	82.7%	$901.99
Dryer venting	$135.05	60.8%	$82.10
CO alarm	$108.85	95.2%	$103.63
Smoke alarm	$83.31	77.2%	$64.27
LP alarm	$83.25	9.7%	$8.10
Misc health & safety repairs	$100.64	12.7%	$12.78
Gas line repir	$242.16	24.3%	$58.75
Heating system replacement	$3,937.60	28.8%	$1,132.97
Lead safe work	$420.82	65.4%	$275.40
Furnace repairs	$615.55	26.9%	$165.82
Total Average H&S Cost Per Unit			$4,313.15
Enter Estimated Production (Annual File: IV.2 WAP Production Schedule)			385
Enter Estimated Program Operations Budget (Annual File - Budget)			$3,083,416.00
H&S Budget (Total Average H&S Cost Per Units * Estimated Production)			$1,660,562.71
Suggested H&S Budget Request			53.855%

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Weatherization Housing Inspection Report (Stick-Built Homes)

Name _____ **Phone #** _____ **Program** _____

Address _____ **File #** _____

City _____ **Date** _____ **Time** _____ **Cost** _____

Action KEY
NCWR: No corrective work
CWR: Corrective work required
W: Warranty work
C: Comments
R: Recommendation

Check File For _____

Action	Client's Feedback	

Action	Appliances		Comments
	Furnace Installation		
	Duct Work		
	Furnace Venting		
	Tune & Clean		
	Weater Heater Installation		Drain Pan
	Water Heater Venting		
	Pipe Wrap		
	Dryer Venting		
	Gas Lines		
	Adequate Combustion Air		

	CAZ Zone Worse Case		Baseline	Exh. On	Air handler	Worse Case - Baseline

Action	Appliance Testing		CO	Spillage	Draft	Outside Temp:	Comments
	Ambient Air						
	Oven						
	Water Heater						
	Furnace						
			Supply	**Return**	**In Range**	**Temp Rise Range**	
	Temperature Rise (furnace)						
	Static Pressure (< 125pa)						

Notes

Action	Basement/Crawlspace		Comments		
	R-Value Band Joist Insulation				
	R Value Crawlspace Ins.		CS 1	CS 2	CS 3
	Vapor Barrier Installed				
	Crawlspace Vents Sealed				
	Foundation				
	Exterior Basement Entrance				

Notes

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Weatherization Housing Inspection Report (Stick-Built Homes)

Action	Attics	Comments			
	Attic Access Sealed	Attic 1	Attic 2	Attic 3	Attic 4
	R-value Attic Insulation	Attic 1	Attic 2	Attic 3	Attic 4
	Heat Sources Shielded				
	By-Passes Sealed				
	R-value Floored Insulation	Attic 1	Attic 2	Attic 3	Attic 4
	Slants Dense Packed				
	R-value KW OCJ Insulation	OCJ 1	OCJ 2	OCJ 3	OCJ 4
	R-Value KW Wall Insulation	Wall 1	Wall 2	Wall 3	Wall 4
	Attic Vented/Soffit Chutes				
	Vermiculite				
	Brick Chimney Sealed				
	Chimney Vents Outside				
	Insulation Certificate/Bag				
	Depth Markers	Attic 1	Attic 2	Attic 3	Attic 4
	Junction Box Markers	Attic 1	Attic 2	Attic 3	Attic 4

Notes

Action	Ventilation	Bath	Bath	Bath	Kitchen	Other Location:
	Existing Fans CFM's					
	ASHRAE 62.2 CFM's Added					
	Fan Rating					
	Location					
	Timer Switch Delay					
	Timer Switch Min/Hr.					
	Exhaust Vents Installed					
	Exhaust Vents Insulated					

Notes

Action	Exterior Walls	Comments
	R-value of Insulation	
	Plugged, Patched & Painted	
	Siding Condition	

Notes

Action	Utility Measures	Comments
	Light Bulbs Installed	
	CO Alarm(s)	
	Smoke Alarm(s)	
	Propane Alarm(s)	
	Low Flow Fixtures Installed	
	Faucet Aerator(s)	
	Refrigerator Tested	
	Freezer Tested	

Notes

DRAFT

Weatherization Housing Inspection Report (Stick-Built Homes)

Action	Miscellaneous		Comments					
	Blower Door							
	Room Pressures							
	Duct Pressures							
	Garage Leakage Tested		Garage Pa		Second BD Reading		Garage CFM	
	Repair Work							
	Suspended Ceilings							
	Weather Stripping							
	Sweeps							
	Other:							
	Other:							
	Other:							
	Recommendations							

	Notes

Action	File/Audit Review		Comments
	Energy Audit Form		
	NEAT/MHEA Audit		
	Audit vs Work Order		
	Work Order		
	Change Order		
	Heat Loss Cal/Manual J		
	Ventilation in Your Home		
	Pre & Post RED Calc		
	Health & Safety Forms		
	Sign Offs		
	WAMS Reporting		

NOTES

Inspector Signature _____

Date _____

DRAFT

Weatherization Housing Inspection Report (Mobile Homes)

Name _____ **Phone #** _____ **Program** _____

Address _____ **File #** _____

City _____ **Date** _____ **Time** _____ **Cost** _____

Action KEY
NCWR: No corrective work
CWR: Corrective work required
W: Warranty work
C: Comments
R: Recommendation

Check File For _____

Action		
	Client's Feedback	

Action	Appliances	Comments
	Furnace Installation	
	Duct Work Sealed	
	Furnace Venting	
	Furnace Venting Sealed	
	Return System Pressure	
	Condensate Line	
	Tune & Clean	
	Weater Heater Installation	Drain Pan
	Water Heater Venting	
	Pipe Wrap	
	Dryer Venting	
	Dryer Venting Insulated	
	Gas Lines	
	Adequate Combustion Air	

CAZ Zone Worse Case	Baseline	Exh. On	Air handler	Worse Case - Baseline	

Action	Appliance Testing	CO	Spillage	Draft	Outside Temp:	Comments
	Ambient Air					
	Oven					
	Water Heater					
	Furnace					
		Supply	**Return**	**In Range**	**Temp Rise**	
	Temperature Rise (furnace)					

Notes

Action	Underbelly	Comments
	R-value of Insulation	
	Vapor Barrier Installed	
	Underbelly Sealed	
	Holes Patched	

Notes

Action	Attics	Comments

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Weatherization Housing Inspection Report (Mobile Homes)

	Attic Access Sealed		Attic 1	Attic 2
	R-Value Attic Insulation		Attic 1	Attic 2
	Heat Sources Shielded			
	By-Passes Sealed			
	Floor Dense Packed			
	Slants Dense Packed			
	Kneewall Insulated			
	Attic Vented			
	Vermiculite			
	Brick Chimney Sealed			
	Chimney Vents Outside			
	Insulation Certificate/Bag			
	Depth Markers			
	Junction Box Markers			

Notes

Action	Ventilation		Bath	Bath	Bath	Kitchen	Other Location:	
	Existing Fans CFM's							
	ASHRAE 62.2 CFM's Added							
	Fan Rating							
	Location							
	Timer Switch Delay							
	Timer Switch Min/Hr.							
	Exhaust Vents Installed							
	Exhaust Vents Insulated							

Notes

Action	Exterior Walls		Comments
	R-value of Insulation		
	Plugged, Patched & Painted		
	Siding Condition		

Notes

Action	Utility Measures		Comments
	Light Bulbs Installed		
	CO Alarm(s)		
	Smoke Alarm(s)		
	Propane Alarm(s)		
	Low Flow Fixtures Installed		
	Faucet Aerator(s)		
	Refrigerator Tested		
	Freezer Tested		

Notes

DRAFT

Weatherization Housing Inspection Report (Mobile Homes)

Action	Miscellaneous		Comments					
	Blower Door							
	Room Pressures							
	Duct Pressures							
	Two Operating Doors							
	Garage Leakage Tested		Garage Pa		Second BD Reading		Garage CFM	
	Repair Work							
	Suspended Ceilings							
	Weather Stripping							
	Sweeps							
	Other:							
	Other:							
	Other:							
	Recommendations							

	Notes

Action	File/Audit Review		Comments
	Energy Audit Form		
	NEAT/MHEA Audit		
	Audit vs Work Order		
	Work Order		
	Change Order		
	Heat Loss Cal/Manual J		
	Ventilation in Your Home		
	Health & Safety Forms		
	Pre & Post RED Calc		
	Sign Offs		
	WAMS Reporting		

NOTES

Inspector Signature _____

Date _____

DRAFT

Governor Kim Reynolds
Lt. Governor Adam Gregg
San Wong, Director

NOTICE OF PUBLIC HEARING

Iowa Weatherization Assistance Program

DES MOINES – Iowans have an opportunity to review and comment on Iowa's Weatherization Assistance Program proposed Bipartisan Infrastructure Law (BIL) funds State Plan.

The Weatherization Program's mission is to enhance the well-being of low-income residents, particularly those persons who are most vulnerable such as the elderly, the handicapped, and children, through the installation of energy efficiency and energy-related health and safety measures, thus benefiting households through reduced energy bills, enhanced comfort, and the mitigation of energy-related health risks. The Iowa Department of Human Rights, Division of Community Action Agencies (DCAA) has been designated by the Governor of Iowa to administer Iowa's Weatherization Assistance Program.

Copies of the proposed Iowa Weatherization Assistance Program BIL State Plan will be available for public viewing at all Iowa Community Action Agencies, the Iowa Community Action Association, and on the DCAA website https://humanrights.iowa.gov/dcaa/weatherization from September 16 - 26, 2022.

The plan is subject to change based on comments received by the state and regulations from the U.S. Department Energy.

Written comments regarding the plan will be accepted through September 26, 2022, emailed to dcaa@iowa.gov with the subject "BIL State Plan Comments".

The public hearing is being held virtually: September 27, 2022 at 9:00am

Attendees should register by emailing dcaa@iowa.gov.

Verbal comments received during the meeting are limited to 10 minutes per person.

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STATE AND LOCAL GOVERNMENTS RATE AGREEMENT

EIN:

ORGANIZATION:

Iowa Department of Human Rights
Lucas Office Building, 2nd Floor
321 E. 12th Street
Des Moines, IA 50319

DATE:02/01/2021

FILING REF.: The preceding agreement was dated 09/14/2020

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

TYPE	FROM	TO	RATE(%)	LOCATION	APPLICABLE TO
FINAL	07/01/2019	06/30/2020	19.00	On-Site	All Programs
PROV.	07/01/2020	06/30/2023	19.00	On-Site	All Programs

*BASE

Direct salaries and wages including all fringe benefits.

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SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

DEFINITION OF EQUIPMENT
Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds $5,000.

The following fringe benefits are treated as direct costs:
FICA, DISABILITY INSURANCE, HEALTH/DENTAL/LIFE INSURANCE, UNEMPLOYMENT INSURANCE, AND RETIREMENT.

NEXT PROPOSAL DUE DATE
A proposal based on actual costs for fiscal year ending 06/30/21, will be due no later than 12/31/21.

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SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted: such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing indirect costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of indirect costs allocable to these programs.

BY THE INSTITUTION:	ON BEHALF OF THE FEDERAL GOVERNMENT:
Iowa Department of Human Rights	DEPARTMENT OF HEALTH AND HUMAN SERVICES
(INSTITUTION)	(AGENCY)
(SIGNATURE)	(SIGNATURE)
(NAME)	Arif Karim (NAME)
(TITLE)	Director, Cost Allocation Services (TITLE)
(DATE)	2/1/2021 (DATE) 3729

HHS REPRESENTATIVE: Lavinia Ha

Telephone: (415) 437-7820

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State of Iowa Single Audit Reports:

http://www.controller.iastate.edu/spa/a133.html

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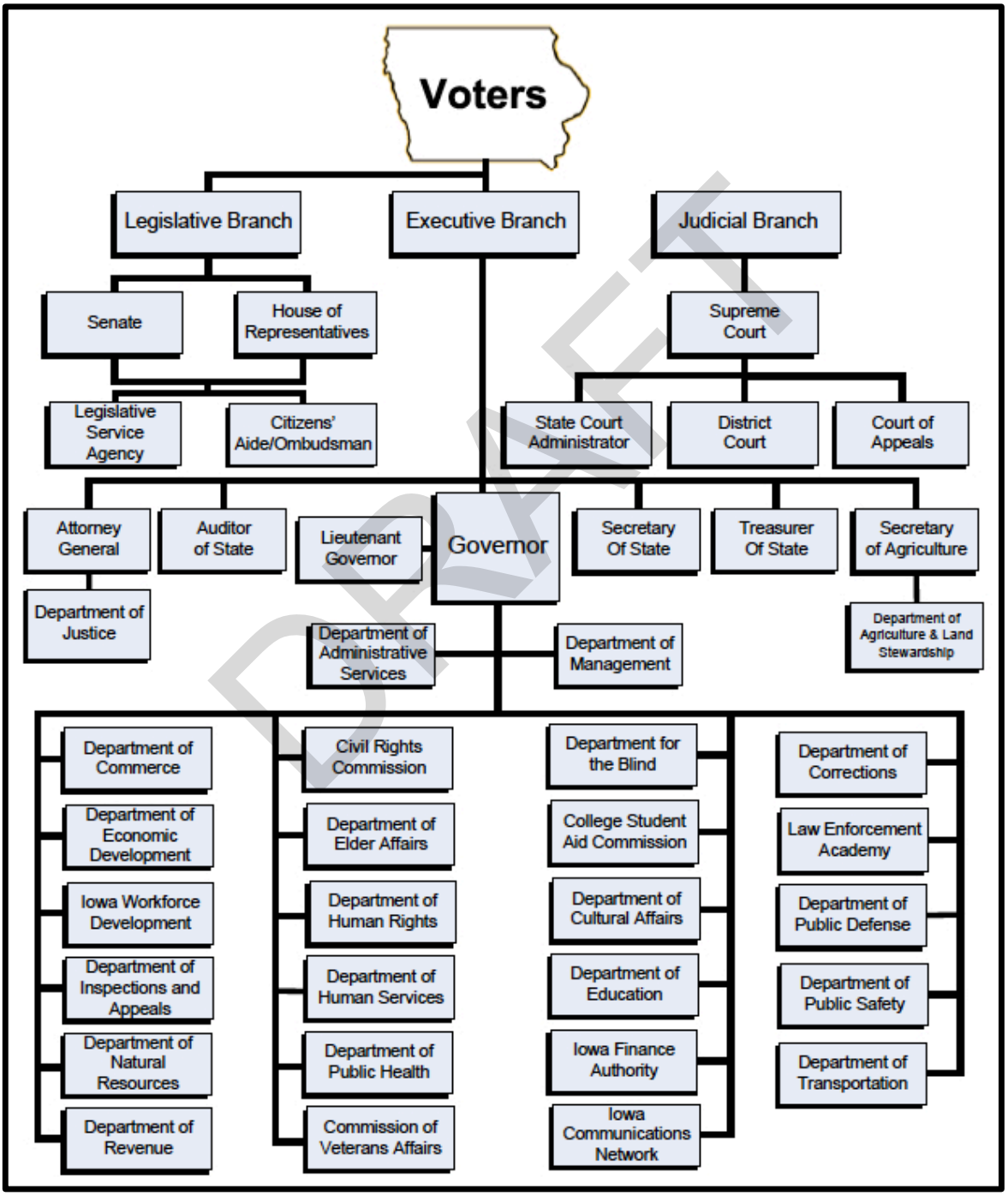
State of Iowa Organizational Chart

http://phonebook.iowa.gov/doc/StateOrganizationalStructure.pdf

Here is a simple organizational chart for the state of Iowa showing the three branches of Government (Legislative, Executive, and judicial).

(This chart is not available in Braille, however the description should begin to explain the three branches of government and us – the voters of Iowa.)



At the top of the chart, is a map of Iowa with the word "Voters" inside. That reminds us that our leaders of state government are elected, and are subject to being voted out if enough Iowans don't like what they are doing. Listed below (and on the Organizational Chart itself) are only some of the departments, offices and commissions that are a part of state government.

VOTERS of IOWA

LEGISLATIVE BRANCH:

- Iowa Senate
- Iowa House of Representatives
  - Legislative Service Agency
  - Citizens' Aide/Ombudsman

JUDICIAL BRANCH:

- Iowa Supreme Court
  - State Court Administrator
  - District Court
  - Court of Appeals

EXECUTIVE BRANCH:

- Governor
  - Department of Management
  - Department of Administrative Services
- Lieutenant Governor
- State Treasurer
- Secretary of State
- State Auditor
- Attorney General
  - Department of Justice
- Secretary of Agriculture
  - Department of Agriculture & Land Stewardship
- Department of Commerce
- Department of Economic Development
- Iowa Workforce Development
- Department of Inspections and Appeals
- Department of Human Services
- Department of Public Health
- Commission of Veterans Affairs
- Department for the Blind
- Iowa Civil Rights Commission
- Department of Elder Affairs
- Department of Human Rights
- Department of Natural Resources
- College Student Aid Commission
- Department of Cultural Affairs
- Department of Education
- Iowa Communications Network
- Department of Corrections
- Law Enforcement Academy
- Department of Public Defense
- Department of Public Safety
- Department of Transportation
- Iowa Finance Authority
- Department of Revenue

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AMENDMENT TO PROGRAMMATIC AGREEMENT
AMONG
THE UNITED STATES DEPARTMENT OF ENERGY, THE IOWA OFFICE OF ENERGY INDEPENDENCE, THE IOWA DEPARTMENT OF HUMAN RIGHTS AND THE IOWA STATE HISTORIC PRESERVATION OFFICE REGARDING
EECBG, SEP AND WAP UNDERTAKINGS

WHEREAS, on April 29, 2010, The United States Department of Energy (DOE), The Iowa Office of Energy Independence, and The Iowa Department of Human Rights, and The Iowa State Historic Preservation Office entered into a Programmatic Agreement (Agreement) to fulfill the requirements of Section 106 of the National Historic Preservation Act for certain DOE-funded Undertakings in Iowa.

WHEREAS, in 2010, as the result of unprecedented funding levels resulting from the implementation of the American Recovery and Reinvestment Act (Recovery Act), DOE, the Advisory Council on Historic Preservation (ACHP), and the National Conference of State Historic Preservation Officers (NCSHPO) developed a first-of-its-kind Prototype Programmatic Agreement (Prototype PA) for National Historic Preservation Act Section 106 reviews;

WHEREAS, pursuant to 2011 Iowa Acts, Chapter 118, the Iowa General Assembly assigned to the Iowa Economic Development Authority (IEDA) responsibility for contracts previously administered by the Iowa Office of Energy Independence.

WHEREAS, the intent of the Prototype PA was to provide DOE, recipients of financial assistance under DOE's Weatherization Assistance Program (WAP), State Energy Program (SEP), and Energy Efficiency Conservation Block Grant (EECBG) program, as applicable, and State Historic Preservation Offices (SHPOs) with a tailored method for complying with Section 106 of the National Historic Preservation Act. DOE, recipients, and SHPOs negotiated and executed subsequent programmatic agreements (subsequent PAs; i.e. this Agreement) in accordance with the Prototype PA;

WHEREAS, the Prototype PA originally provided that each subsequent PA would be valid for three years from the date of execution. As the result of ACHP's Program Comment dated March 11, 2013, however, all subsequent PAs, including this Agreement, were extended through December 31, 2020. (78 FR 16275, 16277);

WHEREAS, ACHP, NCSHPO, and DOE recognize the Prototype PA and subsequent PAs continue to provide great value to DOE, recipients, and SHPOs, notwithstanding expiration of most Recovery Act funding, this amendment extends the use of the Agreement for an additional 10 years; and

WHEREAS, DOE will send a copy of this executed amendment to the ACHP;

NOW, THEREFORE, in accordance with Stipulation XV of the Agreement, the signatories of this Amendment agree as follows:

1. Change all references to 'The Iowa Office Of Energy Independence,' to 'The Iowa Economic Development Authority'

2. Amend Stipulation XVI so it reads as follows:

   This PA will be valid until December 31, 2030, as verified with DOE filing the PA with the ACHP.

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This Amendment may be executed in counterparts, each of which when so executed shall be deemed an original, but all of which shall together constitute one and the same instrument, it being understood that all parties need not sign the same counterpart. This Amendment is not effective until each party executes the Amendment.

SIGNATORIES:

Bill Brand — Date: 10/13/20

Bill Brand
Division Administrator
The Iowa Department of Human Rights - Division of Community Action Agencies

Brian Selinger — Date

Brian Selinger
Energy Team Leader
Iowa Economic Development Authority

Susan Kloewer — Date

Susan Kloewer
Administrator and State Historic Preservation Officer
Iowa Department of Cultural Affairs- State Historical Society of Iowa

Derek G. Passarelli — Date

Derek G. Passarelli
Director, Golden Field Office
Office of Energy Efficiency and Renewable Energy
United States Department of Energy

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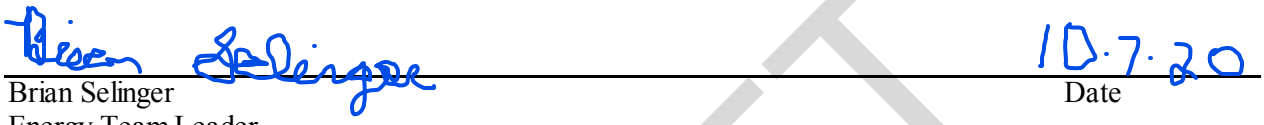
SIGNATORIES:

Bill Brand — Date
Division Administrator
The Iowa Department of Human Rights - Division of Community Action Agencies



Brian Selinger — Date
Energy Team Leader
Iowa Economic Development Authority

Susan Kloewer — Date
Administrator and State Historic Preservation Officer
Iowa Department of Cultural Affairs- State Historical Society of Iowa

Derek G. Passarelli — Date
Director, Golden Field Office
Office of Energy Efficiency and Renewable Energy
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SIGNATORIES:

Bill Brand — Date
Division Administrator
The Iowa Department of Human Rights - Division of Community Action Agencies

Brian Selinger — Date
Energy Team Leader
Iowa Economic Development Authority

Susan Kloewer — 10/9/2020 — Date
Administrator and State Historic Preservation Officer
Iowa Department of Cultural Affairs- State Historical Society of Iowa

Derek G. Passarelli — Date
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Office of Energy Efficiency and Renewable Energy
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The Iowa Department of Human Rights - Division of Community Action Agencies

Brian Selinger — Date
Energy Team Leader
Iowa Economic Development Authority

Susan Kloewer — Date
Administrator and State Historic Preservation Officer
Iowa Department of Cultural Affairs- State Historical Society of Iowa

Derek G. Passarelli — October 29, 2020
Derek G. Passarelli — Date
Director, Golden Field Office
Office of Energy Efficiency and Renewable Energy
United States Department of Energy

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