

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

(Grant Number: EE0007912, State: FL, Program Year: 2017)

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

All dwelling units to be weatherized shall be determined eligible in such a manner to ensure that each weatherized unit meets the qualifications of 10 CFR 440.22, "Eligible Dwelling Units." Eligibility may be categorical or traditional.

Categorical Eligibility:

Categorical eligibility applies when one or more persons living in the dwelling unit have received cash assistance payments under Title IV or XVI of the Social Security Act or applicable state or local law at any time during the 12-month preceding the determination of eligibility for weatherization assistance; or one or more persons in the unit are eligible for assistance under the Low Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level.

Traditional Eligibility:

Traditional eligibility applies to any household whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the direct of the Office of Management and Budget for the 12 months preceding application.

All income documentation/information must be recertified after 180 days of original income verification date. If it is determined that a subrecipient weatherizes a dwelling of a household that does not meet the income eligibility guidelines in the Weatherization Assistance Program (WAP), that subrecipient will be required to reimburse the WAP the total cost of weatherization activity and generated Program Support (PS).

Describe what household Eligibility basis will be used in the Program

A household shall be defined as a family unit meeting the qualifications above in order to qualify for weatherization. In Florida, any household meeting either categorical or traditional eligibility would be eligible to receive weatherization benefits by the WAP.

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

Florida will follow the guidance provided by the U.S. Department of Health and Human Services (HHS) under the Low-Income Home Energy Assistance Program (LIHEAP) available at:

<http://www.acf.hhs.gov/programs/ocs/programs/liheap>.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling unit may be weatherized without documentation that the dwelling unit is an eligible unit.

During the initial client application process, the application must provide evidence or income documentation satisfactory to the subrecipient outreach worker that the household meets the eligibility requirements. The documentation must be maintained in the client file and made available for inspection by the subrecipient and state staff. Applicant income must be verified for the one-year period to the certification month. In accordance with DOE Weatherization Program Notice 15-3, income data for a part of the year may be annualized in order to determine eligibility-for example, by multiplying by four the amount of income received during the most recent three months. The method of calculation is to be determined by the subrecipient and should be uniformly applied. Tax forms may be used to verify income only if the certification period is from January through December. Applications on file for six months (180 days) or more must be recertified for the six months prior to pre-inspection. Applicant eligibility verification shall be documented in the file and shall include, at a minimum, (1) which 12-month period was considered, (2) a list of all sources of applicant income, (3) documentation of income from each source for the period(s) being considered and (4) the date and initials of the agency employee verifying income.

Describe Reweatherization compliance

Florida has adopted the reweatherization date of September 30, 1994. The priority is to serve dwelling units that have not received prior services. All dwelling

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units completed prior to September 30, 1994, must be addressed using the DOE approved priority list, or have a DOE energy audit, such as the National Energy Audit Tool (NEAT) or the Mobile Home Energy audit tool (MHEA), performed to justify the cost of the measures being installed. Dwellings weatherized after September 30, 1994, may not receive weatherization services again unless such dwelling unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance.

Note: The term "Reweathering" applies only to those units which fall into the category of time indicated above and described under 10 CFR 440.18(e)(2) (iii).

Describe what structures are eligible for weatherization

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

Additionally, every dwelling weatherized must meet both the client eligibility and the building eligibility requirements. Structures are ineligible for weatherization funds if they are condemned, scheduled for demolition, or designated for acquisition or clearance by a federal, state, or local program within 12 months from the date of weatherization scheduled completion.

If conditions exist that preclude the weatherization of the structure, a brief written description of the conditions should be supplied to the client. This notification should be coupled with the notification that weatherization assistance is deferred until such time that the problem conditions have been resolved. The subrecipient should inform the client of a "reasonable" amount of time for the resolution of the problem conditions. (See Deferral Standards).

Subrecipients will exercise caution in dealing with non-traditional type dwelling units to ensure that they meet program regulations on whether the unit is, in fact, eligible.

Historic Preservation:

Florida has a State Historic Preservation Office (SHPO) Programmatic Agreement in place, a copy of which is attached to this application.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units:

Weatherization of rental units is an allowable activity however; there are specific guidelines that are addressed in the Florida WAP Manual, Procedures and Guidelines section. These include:

1. After the client application has been received and it is determined that the household meets the eligibility requirements the owner must provide proof of ownership (a copy of the deed or property tax receipt).
2. The property owner must sign the Building Owner Agreement (BOA) and Permission to Enter Premises (PEP) form. The Landlord Agreement Form (LAF) stipulates that:
 - o The benefits of the services accrue primarily to the tenants.
 - o For a period of 12 months, the tenant will not be subject to a rent increase (unless demonstrated that they are related to other matters not related to the weatherization work performed).
 - o A tenant rent increase complaint may be appealed by the owner.
 - o No undue enhancements shall occur to the value of the dwelling unit.
 - o Financial participation by the owner, if feasible, is encouraged.

Multi-Family Units:

Florida requirements for determining eligibility of multi-family dwellings following DOE guidance:

1. WPN 10-15, Final Rule on Amending Eligibility Provisions to Multi-Family Buildings for the Weatherization Assistance Program;
2. WPN 10-15A, Guidance Regarding Accrual of Benefits to Low-Income Tenants in Multi-Family Buildings under the Weatherization Assistance Program; and
3. WPN 10-17, Guidance on Using Non-Federal Resources as a Buy-Down for Meeting the Savings- to-Investment Ratio for Materials Used in the Weatherization Assistance Program.

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Projects being considered for weatherization do not have to be on the HUD Community Development lists referenced in WPN 10-15. However, these projects are confirmed to meet the 66% occupancy level of households qualifying (income requirements) and therefore, already qualify for receiving services.

The same assess to property/units requirements utilized for single family rental units (PEP and BOA/LAF) will apply to any multi-family projects that a subrecipient may consider weatherizing. Subrecipients considering undertaking a multi-family project within their service area must contact the state WAP office for any additional guidance and then submit the application documentation for review. Any such application package will be forwarded to DOE for review and approval. A multi-family project cannot proceed until approved by DOE and then by the state WAP office.

Describe the deferral Process

The Florida Weatherization Assistance Program (WAP) may elect to defer a dwelling from receiving weatherization services where health and safety hazards exist for WAP staff, contractors, clients or where conditions prevent the safe and effective implementation of weatherization measures. The decision to defer work in a dwelling, or in extreme cases, provide no weatherization services, is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problem can be resolved. Information for making this determination may become evident during the eligibility process, during the audit, or after work has started.

Conditions which may cause a dwelling to be deferred may include, but are not limited to the following:

- The dwelling was weatherized after September 30, 1994.
- A dwelling unit is vacant.
- A dwelling unit is for sale.
- A dwelling unit is scheduled for demolition.
- Minor children are in the dwelling but no adult client, or adult agent of the client, at the time of the estimate, or at any other time, then subrecipient personnel must enter the dwelling.
- The eligible member of the household moves from the dwelling unit where weatherization activities and services are in progress. In such a case, the subrecipient must determine whether to complete the work and the circumstances must be documented in the client file.
- The client has known health conditions that prohibit the installation of insulation and other weatherization materials. When a person's health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Temporary relocation of at-risk occupants may be allowed on a case-by-case basis. Failure or the inability to take appropriate actions must result in deferral.
- A dwelling unit is deemed by the auditor to have irreparable conditions that pose a threat to the health or safety of the crew or subcontractor.
- A mobile home is improperly installed (for example, inadequate supports).
- A dwelling unit is uninhabitable (for example, a burned-out apartment).
- There are health or safety hazards that must be corrected before weatherization services may begin including, but not limited to:
 - the presence of animal feces and/or other excrement,
 - disconnected waste water pipes,
 - hazardous electrical wiring, or
 - unvented combustion appliances.
- The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
- The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed. Deferral may be necessary in cases where a known agent (odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.) is present in the home that may create a serious risk to occupants or weatherization workers.
- The property has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.

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- Moisture problems, mold and/or mildew are so severe they cannot be resolved under existing health and safety measures, and with minor repairs.
- The home has drainage related conditions (gutters, downspouts, extensions, flashing, sump pumps, landscape, etc.) that may create a serious health concern and require more than incidental repair.
- Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
- Dangerous conditions exist due to major gas leak(s) and cannot be resolved under existing health and safety measures.
- If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client. Pollutants include formaldehyde, Volatile Organic Compounds (VOCs) and other air pollutants.
- When the extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
- Infestation of pests, including rodents, vermin, fleas, roaches, may be cause for deferral where it cannot be reasonably removed or poses health and safety concern for workers.
- If there is a dangerous dog or other animal which poses a threat to weatherization workers.
- Improperly stored chemicals, combustible materials, or other fire hazards that present a danger to the occupants or workers.
- The home is cluttered to the extent that mobility and ability to perform weatherization work is hindered, and obstacles create a safety hazard.
- If the home is being remodeled or rehabilitated and the weatherization work is not coordinated with that effort.
- Obvious discrepancies are found between the information supplied by the client on the application and observed conditions at the time of weatherization. The subrecipient must resolve these discrepancies before weatherization work can continue.
- The client is uncooperative with the weatherization subrecipient, either in demanding that certain work be done and refusing higher priority work, which is needed, or by being abusive to the work crew or subcontractor, or by being unreasonable in allowing access to the unit. Every attempt should be made to explain the program and the benefits of the work. If this fails, work should be suspended and the state weatherization office consulted.
- If, at any time prior to the beginning of work (materials installed in a unit), the subrecipient determines that the client is no longer eligible or subrecipient personnel believe that circumstances may have changed, the unit shall not be weatherized until updated information can be obtained from the client.
- The presence of live knob-and-tube wiring in areas where weatherization work must be performed.
- The illegal presence or use of any controlled substance in the home during the weatherization process.

Deferral Procedures:

Deferrals during Audit

If an auditor arrives at a home, begins to review the dwelling and determines it should be deferred prior to concluding the audit, the auditor shall immediately contact the subrecipient Weatherization Director to describe the situation and ask for guidance. If in the auditor's judgment during the audit, he/she feels the dwelling should be deferred for a problem likely and/or easily fixed, and that the dwelling will eventually be weatherized, the audit may continue; however, the auditor shall immediately contact the subrecipient Weatherization Director to describe the situation and ask for guidance. If possible, the Weatherization Director (or his/her assignee) may want to meet the auditor in the field to discuss the situation further and brainstorm ideas to allow the audit to continue and avoid deferral. No dwelling may be deferred without approval from the subrecipient Weatherization Director. If possible, all areas of the home should be inspected to identify all deferral issues in order to avoid multiple deferrals. Photos of all deferral conditions should be taken and included in the client file.

If the dwelling must be deferred, the auditor shall provide the homeowner with a brief statement (when feasible) of why they are recommending a deferral. The auditor will then report the recommended deferral to the subrecipient Weatherization Director, who will assess the documentation (photos, description of situation), approve or disapprove the deferral; and notify the homeowner in writing of the deferral decision.

If a deferral occurs before the audit is completed, the unit is eligible for payment, as an audit cut short for deferral reason. If the cause of the deferral is resolved, the subrecipient shall assign the same auditor to the unit to conclude the audit. If a dwelling is deferred after the audit is completed, payment may not be made unless and until the "Administrative Procedures to be Followed for Deferred Units" below are concluded.

Deferral at Time of Measure Installation

Any crew or contractor who arrives on site and discovers what they believe to be a cause for deferral shall immediately contact the Weatherization Director to discuss the situation and determine a course of action. No work shall be done on the dwelling.

If the unit is to be deferred, the contractor shall provide the homeowner with a brief statement (when feasible) of why they are recommending deferral, before

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departing. The contractor will then report the recommended deferral to the subrecipient Weatherization Director, who will assess the documentation (photos, description of situation), approve or disapprove the deferral, and notify the homeowner in writing of the deferral decision. The contractor shall then be entitled to payment for work completed prior to the deferral.

Administrative Procedures to be followed for Deferred Units

Once a unit has been deferred, the subrecipient shall make every effort to bring homeowners back into the program. The subrecipient shall:

1. Direct a letter to the homeowner informing them the dwelling has been deferred and asking them to correct the deferral conditions and contact the agency when work is complete. The agency should give the client 60 days or a reasonable amount of time to correct the issue(s). The letter should refer the client to any help or resources that may assist with the deferral conditions, as well as information on their right to appeal.
2. If no action is taken by the homeowner, a second letter will be sent to the client by certified mail, informing them that they must contact the subrecipient within 30 days to be eligible for weatherization.
3. If no response is received to the certified letter, the unit is removed from further consideration by the WAP at the current time.
4. If at any time the homeowner states that they cannot or will not make the needed repairs, a final letter shall be sent to the homeowner informing them that they have been removed from the program and that they may not participate in WAP unless and until the identified conditions have been remedied and an updated application is submitted.

All letters and documentation of efforts to contact or help the homeowner shall be kept in the clients file by the subrecipient.

It is the homeowner's responsibility to correct the above conditions(s) in order for weatherization services to proceed. When the conditions causing the deferral have been addressed, homeowners are asked to contact the weatherization subrecipient to reevaluate the dwelling. When possible, weatherization subrecipients are encouraged to make referrals or collaborate with other programs and other local resources in order to best serve the customer.

Notification and Appeal

Households shall be informed in writing by the subrecipient when services are deferred based on the deferral guidelines above. The deferral notice will include instructions to remedy the conditions that led to the deferral, or to appeal the deferral based on the "Complaints and Dispute Resolution" policy.

In unusual situations not covered above or where other problems of a unique nature exist, DEO should be consulted.

If obvious discrepancies are found between the information supplied by the client on the application and observed conditions at the time of weatherization, the subrecipient must resolve these questions prior to weatherization. Some examples of discrepancies are an obvious change in the client's income are, an unemployed client who is now back to work, a difference in the number of persons living in the dwelling unit (fewer persons than listed, a person or persons not accounted for who may have income), or evidence of unreported business being conducted in the unit.

V.1.3 Definition of Children

Definition of children (below age): **12**

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.

Assistance is made available to all low-income residents of the State without regard to tribal organization status, to the extent that funding is available.

V.2 Selection of Areas to Be Served

Services will be available in each of Florida's sixty-seven counties. The weatherization funds are allocated to the local subrecipient based on an allocation formula comprised of the low-income population of the state against the low-income population of each county, the average number of heating and cooling days in each of the two climate zones and the overall average energy cost per kilowatt.

Allocation of funds to subrecipients and across budget categories will be based on the base formula and will not require additional public hearings.

The WAP subrecipient Procedures Manual describes the state's response to subrecipient noncompliance, including recoupment or reduction of funding,

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subrecipient probation and subrecipient termination.

Redistributing Provision: DEO retains the right to allow for re-allocation of funds to subrecipients and across budget categories using the same formula as originally proposed or any other funding plan that meets the needs of targeted Florida citizens. This can be done without holding additional public hearings. Active management and reallocation of the grant allows the grant to be fully expended during the budget period.

V.3 Priorities for Service Delivery

Service to eligible clients must be provided on a first-come, first-serve basis in most cases. However, applications should be assessed with a number of priorities based on information taken from the application. Priority is given to disabled, elderly, elderly handicapped, households with children and households with high energy burdens. The number of preference points determines client position on the waiting list. The person with the most points will be placed at the top of the waiting list.

V.4 Climatic Conditions

Florida has two distinct climate zones. Based upon the provided climate zone map, almost the entire state falls under one climate zone. The applicable energy audits are set to reflect the appropriate climate zone for determining applicable weatherization activity recommendations.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

During program year (PY) 2017, all Florida technical guides and materials will meet the specifications, objectives and desired outcomes outlined in the Standard Work Specifications for Home Energy Upgrades (SWS).

The following guides will be utilized by all subrecipients and as applicable, contractors in performing weatherization activities:

- a) Florida WAP Procedures and Guidelines (P&G)
- b) SWS/Florida Field Guides (SWS/FFG)
- c) Florida Site Built Priority List (SBPL) and Manufactured Home Priority List (MHPL)
- d) National Energy Audit Tool (NEAT) and Mobile Home Energy Audit (MHEA)
- e) Florida Weatherization Health and Safety Plan
- f) Florida Weatherization Program Notices
- g) Quality Control Inspection (QCI) report
- h) Monthly reporting forms
- i) Contractors agreement language
- j) DOE-Approved State Plan Application for 2017-18
- k) Subrecipient WAP contractual agreement attachments - *(Scope of Work, Reporting, Record Keeping, and Special Conditions - as applicable).*

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Communication of guidelines and standards

1. During program year 2017, all Sub-grantee contracts and Sub-grantee vendor contracts will contain language that specifically include adherence to the Field guide and SWS requirement, Procedures Manual, Health and Safety Plan and Program Notices. "... Work performed on dwellings shall be completed in accordance with the Standard Work Specifications (SWS)/Florida Field Guide (FFG), the Florida Weatherization Procedures Manual, Weatherization Priority List, Supporting Weatherization Program Notices, along with any supplemental DEO and USDOE guidelines..."
2. The Florida WAP Procedures and Guidelines will include sections for quality work standards, inspection compliance and Quality Control Inspector qualifications, training requirements and certification. By signing the DEO agreement, subrecipients are acknowledging receipt of all technical manuals, polices and protocols.
3. The state will require written subrecipient communication and verification to ensure that the requirements are understood. The state will require the subrecipient to provide written communication verification from all vendors of the SWS.

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family : Florida Weatherization Assistance Program, Single Family Dwelling Priority List based on NEAT, submitted for Energy Audit Procedure Approval July 16, 2014; Approved September 11, 2015.

Manufactured Housing : Florida Weatherization Assistance Program, Manufactured Home Priority List based on MHEA, submitted for energy Audit Procedure Approval August 22, 2014; Provisional Approval September 11, 2015; Full Approval December 11, 2015.

Multi-Family : Multi-family units will represent less than 20 percent of all units weatherized during any program year. DEO and all its subrecipients will submit multi-family projects to DOE for approval on a case by case basis.

Comments

Florida subrecipients will use the following energy audit procedures:

- a) Follow the applicable priority list, or
- b) conduct a full site-specific energy audit, as appropriate. An assessment of the central heating and cooling (HVAC) unit and the water heater, and an assessment of building's characteristics, will determine whether a priority list or site-specific energy audit must be utilized. Guidelines for that determination are:
 1. A site-specific energy audit (NEAT or MHEA) is not required: When the initial assessment indicates that the HVAC or water heater is not a candidate for replacement, AND the building is typical of the type of dwelling units for which the priority list was developed, the applicable priority list may be used and the measures on the priority list must be installed in priority order.
 2. A site-specific energy audit (NEAT or MHEA) is required: When the initial assessment indicates that the HVAC or water heater is a candidate for replacement, OR if the building is not typical of the type of dwelling units for which the priority list was developed, the site-specific energy audit must be used (NEAT or MHEA) and the audit recommendations must be followed in priority by decreasing Savings to Investment Ratio (SIR).
 3. No dwelling will be weatherized utilizing both an audit and a priority list.

Multi-Family Audit

Florida historically has fallen below the DOE 20% threshold of weatherizing multi-family dwelling units and does not currently have a DOE approved audit and procedures for multifamily buildings. However, in the event a subrecipient decides to undertake a multifamily building project for weatherizing, it will:

- a) Follow the multi-family dwellings criteria outlined in Section V.1.2 Approach to Determining Building Eligibility.
- b) Conduct the building assessment (diagnostic testing and inspection) and have a qualified energy auditor complete a DOE-approved energy audit (see WPN 13-5 for DOE-approved multifamily energy audits) to determine the energy conservation measures that should be implemented through weatherization.
- c) Submit to the State WAP office all documentation and material from the assessment and audit, including the recommended scope of work and installation procedures.

After the State WAP office assessment is completed, it will forward that proposal to its DOE Project Officer for review and approval. Multifamily projects will

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be assessed on a case-by-case basis.

V.5.3 Final Inspection

DOE requires that Quality Control Inspectors working for the WAP possess the knowledge, skills and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for Quality Control Inspectors. This requirement applies to all individuals who perform an evaluation and approve work performed in homes including final inspectors and state monitoring staff.

Florida subrecipients may apply one of the two options available for meeting the Quality Control Inspection (QCI) requirement.

- a) Independent QCI (subrecipient staff or outsourcing).
- b) Independent Auditor /QCI

No dwelling unit will be considered as completed and reported to the State WAP office until:

- The QCI is performed (either by a subrecipient staff who is certified to perform the QCI or through an outsourced entity approved to conduct the QCI by the State WAP office).
- The QCI individual will complete the QCI Report and both the QCI individual and whomever performed the initial inspection and diagnostic testing on the dwelling will sign this report.
- When the dwelling unit is ready for submitting to the State WAP office, a copy of the QCI Report will also be submitted.

The State WAP office verifies the QCI certification through the BPI website. Confirmation of current certification of all individuals performing the QCI in the Florida WAP will be performed at the beginning of each PY.

QCI Completed Inspection Form

Each subrecipient weatherized dwelling will be inspected by a QCI. The QCI/DIR form will:

- a) indicate the relationship of the QCI to the subrecipient (I/QCI or IA/QCI),
- b) document the inspection items and be signed and dated by the QCI,
- c) be placed in the client file, and
- d) be included (a copy) with the monthly Financial Status Report (FSR) when the dwelling is submitted to the State WAP office.

State Monitoring:

- a) Subrecipients implementing the I/QCI approach will require the State WAP office to perform a QCI on a minimum of five percent of the projected dwellings to be completed with DOE WAP funding.
- b) Subrecipients implementing the IA/QCI will require the State office to perform a QCI on a minimum of ten percent of the projected dwellings to be completed with DOE WAP funding.

Non-Compliance Situations:

During a State monitoring visit, if it is determined that the certified QCI individual demonstrated inadequate inspection practices, the State WAP office may implement the following steps:

- a) Bring the issue to the attention of the subrecipient inspector and/or certified QCI individual during the visit,
- b) discuss the issue to determine why the error occurred,
- c) document the issue (photo),

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- d) determine what corrective actions are required,
- e) have the subrecipient coordinate with the contractor/crew to perform the corrective actions required (if a workmanship issue) to achieve compliance and provide photo documentation of the corrected activity to the State WAP office within a prescribed time frame,
- f) determine if additional training is required for the QCI individual (if only a minor or one instance situation),
- g) consider having another independent QCI individual perform a spot check of dwellings and files to be reported on the following months FSR prior to that report being submitted,
- h) request a copy of all documentation (PLAT, DAT, audit, priority list, etc.) for a dwelling to be reported in the following month along with photos of all measures installed, and
- i) coordinate a follow-up spot check Quality Assurance (QA) visit focusing on the past issue; the QCI documentation and conduct a dwelling inspection.

Repeat Non-Compliance Situation

Each QCI non-compliance situation will be handled on a case-by-case basis. If the Certified QCI individual is found to be in non-compliance (repeat infractions) in performing the QCI, a written notification from the State WAP office will be provided to the subrecipient directing it to seek alternate means for having the QCI performed on future dwellings.

The QCI individual will also be notified in writing of their suspension from performing future QCIs for Florida subrecipients. If that individual participates in refresher QCI training, they may be given an opportunity to demonstrate competency in a supervised, probationary period. Each suspension situation will be handled on a case-by-case basis.

V.6 Weatherization Analysis of Effectiveness

Subrecipient effectiveness is assessed through multiple measures. On-site monitoring requirements described in V.8.3 Monitoring Activities, provide ideal conditions during which subrecipients may be evaluated and areas in need of improvement can be identified.

In addition to the formal monitoring reporting that tracks deficiencies and findings and outlines how to make improvements, monitoring visits allow for a comprehensive review of the agency. Such review may include technical and financial systems and procedures, follow up on previous training outcomes and identification of future training needs and the sharing of "Best Practices" at all levels of operation.

Additionally, the following approaches are used to determine subrecipient implementation level and competency in meeting the goals of the WAP:

- Reviewing monthly reports submitted by subrecipients, reviewing the pre and post weatherization utility bills of households served, and performing monitoring visits and dwelling inspections either supports subrecipient effectiveness or brings up ineffective areas that need to be addressed.
- Comparing productivity or energy savings of all subrecipients can indicate if additional training required and supports initiating peer-to-peer or state coordinated training and technical assistance (T&TA) activities.
- Analysis of subrecipient monitoring report responses can also indicate if additional assistance or training is needed.
- Following up with subrecipients' corrective actions to ensure improvement on issues discovered during monitoring visits.
- Reviewing of training credentials or attendance records to ensure that the subrecipient is meeting the DOE required Quality Work Plan in implementing the QCI and the Job Task Analysis (JTA) training/certification requirements.
- Comparing the annual risk analysis assessment of each subrecipient's past performance to summarize the financial reviews, monitoring report(s) and any outstanding issues. From this assessment each subrecipient's needs, strengths and weaknesses may be determined and plans made to follow-up on providing the necessary T&TA to ensure future compliance.
- subrecipients determined to be at risk may be placed in a probationary status for a period of time. Failure to achieve compliance during that time period may result in termination of their agreement.

V.7 Health and Safety

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In accordance with the Final Rule and Weatherization Program Notice (WPN) 11-6, DEO will adopt the following approach to implementing health and safety measures.

Subrecipients shall comply with all applicable state and local building codes and regulations.

DEO provides subrecipients with an allocation of funds identified as a budget line item, to be used for required Health and Safety measures. Specific health and safety related measures are reported in the designated electronic data reporting system. The purchase and maintenance of personal protective equipment and other safety equipment is allowed. Each subrecipient has a local Training and Technical Assistance budget, and those funds may be used to provide training and certification to address health and safety issues.

Florida will budget Health and Safety funds at less than 46 percent of the Program Operations funds budgeted. Florida tracks Health and Safety labor and materials costs on its Work Order. Reporting data that populates the statewide database making it possible to track and manage all health and safety costs.

DEO encourages subrecipients to maintain coverage for Pollution Occurrence Insurance (POI), but no longer makes it mandatory.

***For further details on the applicable health and safety standards, please see Health & Safety Plan in compliance with WPN 11-6 attached to this application.

V.8 Program Management

V.8.1 Overview and Organization

The Florida WAP is administered under the Florida Department of Economic Opportunity (DEO). It is located in the Division of Community Development, Bureau of Community Assistance (BCA). The WAP direct personnel roster consists of a Bureau Chief, Administrative Assistant, Manager, a Grants Specialist and three Government Operations Consultants II (monitors). In addition to the WAP, the Community Services Block Grant (CSBG) and the Low-Income Home Energy Assistance Program (LIHEAP) are also located in the BCA. A complete DEO org chart is included in the application. *(See attached DEO Organization Chart 2017)*

Overall, there are 41 DEO funded subrecipients statewide for providing WAP and/or CSBG and/or LIHEAP. There are 21 subrecipients providing WAP services statewide (all 67 counties are served).

Financial assistance provided will be used to supplement and not supplant, State or local funds.

V.8.2 Administrative Expenditure Limits

The Florida WAP will follow the rules for administrative expenditure limits outlined in 10 CFR 440.18 (e), which states that no more than ten percent of any grant made to a state may be used by the grantee and subrecipient for administrative purposes in carrying out duties under this part, except that not more than five percent may be used by the state for such purposes, and not less than five percent must be made available to subrecipients by states.

An exception to exceed the ten percent administrative requirement shall apply to subrecipients funded at less than \$350,000 of DOE funds. Subrecipient agencies are required to submit justification for administrative funds in excess of five percent of the total grant, with state approval based on the individual subrecipient needs.

In preparing a request, subrecipients should consider that they are already allowed to charge legitimate Program Operations costs (i.e., salaries, mileage, space, utilities, communications, etc. related to the coordination of weatherization work to be performed on a dwelling unit) to the Program Support category instead of in the administrative category.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, DEO, as the Grantee of the DOE Weatherization Assistance Program, has an established monitoring system for evaluating subrecipients performance regardless of funding source. Monitoring functions will be the state's principal method for determining subrecipient compliance with the regulations contained in 10 CFR 440, applicable OMB circulars, 2 CFR Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Weatherization Program Notices and any other procedures that DOE may issue. Additionally, monitoring activities will ensure the evaluation of actual accomplishments against planned activities and determining the effectiveness of WAP policy. Monitoring also provides objective

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reporting to and from subrecipients and makes recommendations to address program and administrative deficiencies and needs.

The three State WAP staff who perform technical and administrative monitoring of subrecipients are classified as Government Operations Consultant II (GOC II). Ten percent of staff salaries are paid for out of the WAP Grantee administrative funding. The outsourcing of the State QCI activity will be covered in Grantee T&TA.

Supplemental funding received from the LIHEAP covers the remaining cost for salaries, monitoring and outsourcing of additional QCI performed during monitoring visits. A breakout of projected monitoring expenditures to be charged to the DOE WAP is provided in the Budget Detail (PF-20A) of this State Plan.

At the present time, none of the State WAP staff are certified for performing the QCI activities. Therefore, during PY 2017 the State level QCI function will be outsourced utilizing certified QCI independent contractors.

Each subrecipient will be monitored on site during PY 2017 by State WAP staff. The visit will consist of an administrative, fiscal and programmatic review in addition to completing state level required QCI on:

- a) At least five percent of the completed dwellings inspected for subrecipients utilizing the Independent QCI option, and
- a) At least ten percent of the completed dwellings inspected for subrecipients utilizing the Independent Auditor/QCI option.

Quality Assurance Activities:

Based upon the review of the monthly program, fiscal and QCI Reports (QCIR) and the results of any modified or regular monitoring visits, the GOC II may determine that additional on-site Quality Assurance (QA) visits may be warranted.

In the interim, the GOC II will perform a desk monitoring of monthly reports and supporting documentation submitted to confirm the subrecipient performance in regard to meeting agreement deliverables, reporting deadlines, material and labor costs, and budget/expenditure. Monitoring schedules may also be changed based on the results of the review of the following items:

- The DEO Office of Inspector General audit,
- the last monitoring report,
- most recent independent audit,
- monthly fiscal reports,
- to-date production records,
- a review of applicable board minutes,
- interactions/communications with the subrecipients' coordinator and fiscal staff, and
- needs or requests submitted by the subrecipient,
- deferral units reported to the state office since the last monitoring visit.*

**Note: As referenced in Section V.1.2 Approach to Determining Building Eligibility, subsection "Describe the Deferral Process"; a dwelling unit may be deferred services for a number of reasons. During the monitoring visit the client files on any deferred clients will be reviewed for compliance to following guidelines and if applicable, consider visiting the deferred dwelling unit to confirm the conditions of situations that resulted in the deferral action being implemented.*

State Level QCI Monitoring:

Prior to conducting a monitoring visit, the GOC II will review the QCIRs that have already been submitted by the subrecipient for completed dwellings. Any QCIRs that are questionable or have conflicting information will be earmarked for inspecting during the visit. Also during the visit, the credentials of the individual performing the QCI will be reviewed.

During the visit if it is determined that there is a diagnostic testing result or workmanship issue that was not reported in the QCIR, the infraction will be brought to the attention of the individual who conducted the QCI and the subrecipient to discuss how it was missed and what corrective actions are to be taken.

The subrecipient will coordinate the required corrective action to be taken and have thorough photo documentation of the resolved issue. The QCI will be re-conducted and a new QCIR will be submitted to the State office along with all supporting photo documentation. The QCI individual will be put on notice and supporting documentation (photos and test readings) may be required to be submitted along with the QCIR by the subrecipient for dwellings that had the QCI conducted by the same individual.

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If applicable, the subrecipient will be required to provide the State WAP office with the necessary changes that have been implemented in its implementation and oversight activities that will ensure the issue is not repeated on future dwellings. The subrecipient may also be required to submit QCI supporting photo documentation of dwellings completed for review and approval when they are submitted to the State WAP office with a monthly Financial Status Report (FSR).

If there is a second repeat occurrence of a QCI failed inspection, the issue will be discussed with all parties (subrecipient management, QCI individual and State WAP staff) to determine the best course of action. If it is determined that a QCI individual is not performing the task as required, that QCI individual may not be allowed to perform the QCI activity for Florida WAP subrecipients or the State WAP office.

The GOC II will work with the subrecipient to find another certified QCI individual to avoid any delay in meeting production goals.

State Level Monitoring Instrument:

- Financial/Administration
- Vehicles and Equipment Inventory
- Audits
- Financial Management/Accounting Systems
- Payroll/Personnel
- Records Retention
- Invoicing
- Contractor Procurement Process
- Client Eligibility (Client File Review)
- Contractor Qualifications and Licensing
- Pre and Post Inspections Results
- Priority List and Energy Audits
- Preparation of Work Orders
- Health & Safety Compliance
- Weatherization Measures Installation
- Quality Control Inspection Report
- Qualifications & Training Assessment
- Needed Training & Technical Assistance

The applicable percentage of each subrecipient's completed weatherized dwellings reported since the last monitoring visit will have a QCI performed and at least one dwelling "in progress" will be visited in order to assess:

- Quality and compliance
- Appropriate and allowable materials
- Appropriateness and accuracy of energy audits
- Comprehensive final inspections
- Safe work practices
- Lead safe weatherization protocols

In addition, one dwelling ready for bid (diagnostic tests completed and bid prepared) will be visited to ensure the accuracy of applicable testing that had been performed. During the visit, a subrecipient may also be required to conduct diagnostic testing procedures if it appears that the interpretation of the results are questionable and if additional training is needed.

The monitoring process consists of the following activities:

The visit:

- Formal correspondence is sent to the subrecipient to schedule the time frame of the visit. The correspondence will include a list of documents to be made available for review and other specific programmatic activities relating to weatherized dwellings.
- An entrance interview will be held with subrecipient management and weatherization staff to discuss any previous non-compliance issues along with the agenda for the visit.
- During the dwelling inspection process, if any Health and Safety issues are found that present imminent danger to the household, the subrecipient will be directed to immediately resolve the issues
- The applicable QCI dwelling and files inspection will be performed.
- An exit interview is held and issues that will be addressed in the follow-up report are covered.

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The report:

- A written report that describes the monitoring assessment is issued to the subrecipient within 30 days of the visit.
- The report will identify any existing or potential non-compliance issues found during the visit.
- For non-compliance or workmanship issues found during the dwelling inspection, photo documentation is included.
- Corrective actions are recommended and the appropriate guidance document is referenced. Samples of best practices and what training is available may be provided if applicable.
- For issues regarding workmanship or measures installed on a dwelling that has already been reported as a completed unit, the subrecipient is responsible for addressing the issue with the subcontractor and corrective actions should be the responsibility of the subcontractor.
- Disallowed costs will be offset by the subrecipient on future dwellings or reimbursed to the state.

Subrecipient response:

- Subrecipients will have 30 days after receipt of the monitoring report to respond.
- If the subrecipient response and/or corrective action to be implemented are not sufficient to assure future compliance, additional clarification may be requested and the subrecipient will have an additional 30 day time frame to achieve compliance.
- Failure by a subrecipient to implement acceptable corrective actions or rectify a noncompliance issue at the end of the second response period may result in the Department withholding of programs reimbursements until compliance is met.
- Follow-up visits may be scheduled as determined by State staff or requested by subrecipient staff to focus on a specific area of concern or to provide specific oversight or training.

Risk Assessment:

Annually a risk analysis assessment of each subrecipient's past performance will be conducted after the program year to summarize the financial reviews, monitoring report(s) and any outstanding issues. From this assessment each subrecipient's needs, strengths and weaknesses may be determined and plans made to follow-up on providing the necessary T&TA to ensure future compliance. Subrecipients determined to be at risk could be placed in a probationary status for a period of time.

Upon being classified as "at risk" subrecipient and being placed on a probationary status, the subrecipient will be required to submit a detailed Corrective Action plan (CAP) that will outline the processes to be implemented to address the issue(s) along with a timeline to achieve resolution. The GOC II will monitor the progress of the subrecipient to determine the status of the resolution and that the submitted CAP is being implemented. If a site visit to the subrecipient is warranted, it will be prioritized to be performed.

Failure by a subrecipient to rectify the situation within the prescribed probationary time frame may result in the termination of the subrecipient agreement and DEO seeking another provider of weatherization services for that area. For any subrecipient that is considered at risk, QA visits will become part of the state oversight activity to ensure the CAP is being implemented.

Subrecipient Audit Reviews:

All subrecipients are required to submit a copy of their annual audit to the Department of Economic Opportunity Financial Monitoring and Accountability Office (FMA) for review. FMA performs a preliminary review of the audit and then provides the audit and a technical review questionnaire to the Florida WAP office. WAP staff and management review the audit and discuss.

If there are findings regarding the subrecipient's direct administration of the WAP or indicate an organizational activity considered to be a material weakness or deficiency finding, WAP management provides comments and drafts a management decision letter for review. Then, upon consultation with the OIG staff, the final management decision letter is provided to the subrecipient.

WAP staff will follow-up with the subrecipient to address any questions or provide additional clarification in regard to corrective actions required to resolve the issue. As indicated in the QA section, additional onsite visits as applicable may be coordinated to ensure applicable corrective actions are being implemented to ensure resolution in a timely manner.

Subrecipient Termination:

If it is determined that a subrecipient does not have the capacity to implement the WAP to ensure compliance with all procedures, guidelines, etc. even after substantial T&TA is provided by the State WAP office, that subrecipient's agreement may be terminated.

V.8.4 Training and Technical Assistance Approach and Activities

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DEO believes that strong internal systems, oversight, training and technical assistance are essential to enable subrecipients to achieve the objectives of the weatherization program. The training and technical assistance budget and narrative reflects the philosophy, and will ensure quality weatherization work and adequate financial and programmatic management controls.

The purpose of all training and technical assistance will be to maximize energy savings, improve program and operation efficiencies, improve crew/contractor work quality, reduce the potential of waste, fraud, abuse and mismanagement, and increase client satisfaction.

The T&TA funding is used to pay salary, travel and operational cost for WAP staff and contractors to provide monitoring T&TA to subrecipient and contractor staff. Subrecipient expenses for participation in T&TA activities will be funding from DOE T&TA and other funds.

DEO will use the following methods to provide T&TA:

1. DEO staff or contractor(s) will provide on-site or off-site T&TA as needed. Needs may be identified by the subrecipient staff, DOE Project officer monitoring visits, internal state audits, Inspector General reports, or by DEO staff as a result of observation for resolution of problems, or to meet updates required by DOE.
2. On-site visits provide firsthand, observable evidence for T&TA. Therefore, through monitoring, DEO staff will analyze data on a variety of financial, production and weatherization retrofit information. Trends indicating extremes high/lows in production and completed weatherization measures will be noted and tracked for appropriate follow-up. Technical weatherization skills will be closely monitored and any deficiencies will be shared with subrecipients and specific training requirements will be mandated.
3. Subrecipients will have the opportunity to identify and address their own T&TA needs through local initiatives.
4. Florida requires successful completion of certification training for all inspectors. Requirements include: Quality Control Inspection Certification, Mobile Home Inspection training, LSW certification, OSHA 10 and 30 hour. For current certified staff, use of continuing education credits to maintain certification will be funded through T&TA funds. DEO allocates T&TA funds to each subrecipient for the mandated training, as needed.
5. DEO will work with IREC accredited training providers to administer Tier 1 occupation specific NREL Job Task Analysis (JTA) training for all WAP workers.
6. As needed, subrecipients may receive Tier 2 training for single issue, short-term training pertaining to identified field deficiencies and/or enhancement of existing knowledge, skills and abilities.
7. A training needs database with a master list of All subrecipient staff and their associated training records will be developed to highlight the needs of the individuals working within the program and to send notification when continuing education training is required.
8. DEO management and subrecipient staff will attend DOE mandated activities/events, NASCSP events, state weatherization managers' meetings, national DOE conference and other staff development trainings as needed or required.
9. The Annual Florida Weatherization Training Workshop includes all fiscal and technical program training and is a mandatory T&TA activity.

Provision of training and technical assistance

1. On-site technical assistance visits will be conducted by DEO monitoring staff, as requested or required. Any subrecipient experiencing management, production, operational, or compliance problems will be provided technical assistance and a plan of recommended corrective action. Verbal recommendations will be given to the executive director, weatherization director or weatherization coordinator prior to the end the visit. A letter or a monitoring report reiterating those recommendations will be sent within 30 days of the visit and a follow-up visit will be made to evaluate progress.
2. Subrecipients will have the opportunity to select a training provider for meeting the training needs recommended and mandated by the DEO WAP office. Subrecipients must have DEO approval for all out-of-state training and travel costs. It is strongly recommended that subrecipients utilize local/in-state training resources to maximize their T&TA funds.
3. Should a subrecipient hire a new weatherization director/coordinator, the subrecipient is required to notify DEO in writing within 30 days of the date of hire and request training. DEO will contact the subrecipient within 30 days of receipt of notification to arrange for training. DEO will use in-house staff and/or other weatherization professionals to provide training.
4. Subrecipients may use available T&TA funds to support locally initiated training and to make effective use of the state training center. To assure coordination of training activities, all subrecipient T&TA funds shall be itemized and budgeted into the following categories:
 - Costs for travel and per diem for attendance at all DEO hosted T&TA workshops, seminars, meetings, or classes.
 - Supplemental training not offered by DEO for subrecipient staff training must relate directly to the attendee's WAP job duties.
 - Purchase of training materials, including training and testing costs, necessary to meet OSHA safety standards.
 - Percentage of salary for a staff person responsible for ensuring that training, safety requirements and needs are met and to oversee in-house weatherization training.
5. To assure coordination of training activities, all Grantee T&TA funds shall be itemized and budgeted into the following categories:
 - Purchase of training materials, including training and testing costs, necessary to meet OSHA safety standards.
 - Travel for DEO WAP staff to attend conferences, meetings, trainings and seminars.
 - Other T&TA initiatives in conjunction with local T&TA programs.

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6. DEO shall continue to assure and effective exchange of program information through:

- Active involvement with the WAP Policy Advisory Committee (PAC).
- Promotion of statewide meeting initiated by the Florida Weatherization Network (FWN) Council and representatives of the PAC at which management, technical and general informational topics will be discussed according to current need.
- Scheduling statewide weatherization meeting to develop new training approaches and refine the existing courses to best meet the needs of the subrecipient.
- Updates to program management guidance, including operations memos, information updates and revisions in the policy and Procedures Manual, when necessary.
- Encouragement of information exchange and skills transfer among subrecipients on an informal basis.

Attendance/Training Requirements

To help insure an adequate level of knowledge and understanding among individual who perform certain duties, Florida will adopt the DOE Standardized Training Curriculum as the reference for minimum training requirements. The following modules will be used to meet all network training needs:

Tier 1 Training:

- Weatherization Install/Technician Fundamentals
- Weatherization Energy Auditor – Single Family
- Weatherization Energy Auditor – Multi-Family
- Quality Control Inspector
- Technical Monitor/Inspector
- HVAC Systems for Energy Auditors and Inspectors – Single Family
- Manual J
- Mechanical Systems – Multi-Family
- Crew Leader

Tier 2 Training:

- Annual Network Workshop
- Project Management 101
- Procurement regulations under 10 CFR 600
- Peer Exchange Training and Technical Assistance
- Florida Weatherization Network Council
- Health & Safety Training for Programmatic Staff
- Lead Safe Weatherization
- ASHRAE 62.2
- OSHA 10/30

Attendance at State sponsored training may be required based on the importance of the topic and information to help correct program deficiencies or to ensure competence in specific areas. In such cases, subrecipient attendance will be mandated as a matter of program compliance.

Assessment of State T&TA Activities

Effectiveness of T&TA activities will be evaluated through the following:

- Local training activities and local T&TA expenditure reports
- Quarterly review of the Florida WAP training tracking database to measure and track training efficiency
- Onsite monitoring and observations and reporting of improvement in work standards
- Review of local T&TA Curriculum and activities
- Formal evaluation forms completed by participants to statewide training workshops
- Surveys to subrecipients and contractors

Client education has been provided over the years by different methods in each area of the state, ranging from detailed discussions with clients during pre and post inspections to access to program-related publications. DEO will continue to require WAP subrecipients to provide client education to each WAP client. Subrecipients will be required to provide (at the minimum) educational materials in verbal and written format.

The Florida WAP will assess fuel savings effectiveness using data provided by the subrecipients on pre and post weatherization energy usage derived from client

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submitted energy bills. This analysis provides DEO with the information on a sampling of weatherized units that allows staff to identify significantly high and significantly low performers. DEO will analyze the data for T&TA purposes that allows them to compare effectiveness within a subrecipient's area and between subrecipients. The need for additional T&TA will be identified through these comparisons.

V.9 Energy Crisis and Disaster Plan

The DOE issued WPN 12-07 provides guidance on the use of WAP in the event of disasters. In the event that a disaster area is declared, the State WAP office would issue a State Weatherization Program Notice clarifying the policies, procedures and activities that will be allowed to be implemented by subrecipients in the declared area.

Reprioritization of weatherization services requests coming from the disaster area may include households located in the disaster area as a priority as long as the households are eligible and meet one of the priorities established in regulations and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

Other disaster related activities that may be considered but will require prior approval from the State WAP office include:

- a) Debris removal at a dwelling unit so that the dwelling can be weatherized,
- b) Weatherization personnel can be paid to perform functions related to protecting the DOE WAP investment, i.e.:
 - i. Securing weatherization material, tools, equipment, weatherization vehicles, or;
 - ii. Protection of local subrecipient weatherization files, records and the like during the initial phase of the disaster response.

Weatherization vehicles and/or equipment may be used to help assist in disaster relief provided the WAP is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.