

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Revision		If Revision, select appropriate letter(s) Increase Award Other (specify):	
3. Date Received 06/29/2017			4. Applicant Identifier:		
5a. Fed Entity Identifier:		5b. Federal Award Identifier: DE-EE0007959 (SF424 revision 1)			
State Use Only:					
6. Date Received by State:			7. State Application Identifier:		
8. APPLICANT INFORMATION:					
a. Legal Name: STATE OF WISCONSIN					
b. Employer/Taxpayer Identification Number (EIN/TIN): 396028867			c. Organizational DUNS: 809035728		
d. Address:					
Street 1: Post Office Box 7970					
Street 2: 101 East Wilson Street, 6th Floor					
City: Madison					
County: DANE County					
State: WI					
Province:					
Country: U.S.A.					
Zip / Postal Code: 537077970					
e. Organizational Unit:					
Department Name: Department of Administration			Division Name: Energy, Housing and Community Resources		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix: Ms		First Name: Susan			
Middle Name:					
Last Name: Brown					
Suffix:					
Title: Deputy Administrator					
Organizational Affiliation:					
Telephone Number: 6082662035			Fax Number: 6082676931		
Email: Susan.Brown@wisconsin.gov					

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002017

Title:

2017 Weatherization Assistance Program Funding

13. Competition Identification Number:

Title:

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

Statewide

15. Descriptive Title of Applicant's Project:

Weatherization Assist. for Low Income Persons

APPLICATION FOR FEDERAL ASSISTANCE SF-424

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16. Congressional District Of:

a. Applicant: b. Program/Project: WI-Statewide

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

17. Proposed Project:

a. Start Date: 07/01/2017 b. End Date: 06/30/2018

18. Estimated Funding (\$):

a. Federal	8,646,632.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	8,646,632.00

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

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

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

No

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

I AGREE

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

Authorized Representative:

Prefix: Mr First Name: Scott

Middle Name:

Last Name: Neitzel

Suffix:

Title: Secretary

Telephone Number: 6082661741

Fax Number:

Email: scott.neitzel@wisconsin.gov

Signature of Authorized Representative: Signed Electronically

Date Signed:

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007959		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address STATE OF WISCONSIN Post Office Box 7970 Madison, WI 537077970		4. Program/Project Start Date 07/01/2017	5. Completion Date 06/30/2018

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. DOE	81.042	\$ 0.00		\$ 8,646,632.00		\$ 8,646,632.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 8,646,632.00	\$ 0.00	\$ 8,646,632.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 260,343.00	\$ 0.00	\$ 376,713.00	\$ 0.00	\$ 836,330.00
b. Benefits	\$ 102,991.00	\$ 0.00	\$ 149,028.00	\$ 0.00	\$ 330,852.00
c. Travel	\$ 6,400.00	\$ 0.00	\$ 37,160.00	\$ 0.00	\$ 43,560.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 6,000.00	\$ 0.00	\$ 1,704.00	\$ 0.00	\$ 8,904.00
f. Contract	\$ 2,200.00	\$ 432,332.00	\$ 240,000.00	\$ 440,000.00	\$ 7,316,501.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 39,391.00	\$ 0.00	\$ 13,682.00	\$ 0.00	\$ 62,280.00
i. Total Direct Charges	\$ 417,325.00	\$ 432,332.00	\$ 818,287.00	\$ 440,000.00	\$ 8,598,427.00
j. Indirect	\$ 15,006.00	\$ 0.00	\$ 21,713.00	\$ 0.00	\$ 48,205.00
k. Totals	\$ 432,331.00	\$ 432,332.00	\$ 840,000.00	\$ 440,000.00	\$ 8,646,632.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007959		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address STATE OF WISCONSIN Post Office Box 7970 Madison, WI 537077970	4. Program/Project Start Date 07/01/2017		
	5. Completion Date 06/30/2018		

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	\$ 8,646,632.00	\$ 0.00	\$ 8,646,632.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) LEVERAGIN G		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 199,274.00	\$ 836,330.00	
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 78,833.00	\$ 330,852.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 43,560.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,200.00	\$ 8,904.00	
f. Contract	\$ 5,786,969.00	\$ 350,000.00	\$ 40,000.00	\$ 0.00	\$ 7,316,501.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 9,207.00	\$ 62,280.00	
i. Total Direct Charges	\$ 5,786,969.00	\$ 350,000.00	\$ 40,000.00	\$ 288,514.00	\$ 8,598,427.00	
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 11,486.00	\$ 48,205.00	
k. Totals	\$ 5,786,969.00	\$ 350,000.00	\$ 40,000.00	\$ 300,000.00	\$ 8,646,632.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007959		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address STATE OF WISCONSIN Post Office Box 7970 Madison, WI 537077970	4. Program/Project Start Date 07/01/2017		
	5. Completion Date 06/30/2018		

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	\$ 8,646,632.00	\$ 0.00	\$ 8,646,632.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 836,330.00
b. Benefits	\$ 0.00				\$ 330,852.00
c. Travel	\$ 0.00				\$ 43,560.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 8,904.00
f. Contract	\$ 25,000.00				\$ 7,316,501.00
g. Construction	\$ 0.00				\$ 0.00
h. Other	\$ 0.00				\$ 62,280.00
i. Total Direct Charges	\$ 25,000.00				\$ 8,598,427.00
j. Indirect	\$ 0.00				\$ 48,205.00
k. Totals	\$ 25,000.00				\$ 8,646,632.00
7. Program Income	\$ 0.00				\$ 0.00

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Advocap Inc (Fond du Lac)	\$324,312.00 42
Ashland County Housing Authority (Mellen)	\$346,572.00 45
CAP Services Inc (Stevens Point)	\$261,046.00 33
Central Wisconsin CAC (Wisconsin Dells)	\$257,233.00 33
Community Action of Rock/Walworth Counties (Janesville)	\$313,456.00 40
Community Relations - Social Development Commission (Milwaukee)	\$593,872.00 77
Coulecap Inc (Westby)	\$233,531.00 30
Hartford Community Development Authority (Hartford)	\$141,465.00 18
Indianhead CAA (Ladysmith)	\$308,841.00 40
La Casa de Esperanza (Waukesha)	\$450,485.00 58
La Casa de Esperanza-Milwaukee (Waukesha)	\$593,872.00 77
Newcap Inc (Oconto)	\$504,532.00 65
North Central CAP Inc (Wisconsin Rapids)	\$435,338.00 56
Outagamie County Housing Authority (Appleton)	\$202,863.00 26
Partners for Community Development (Sheboygan)	\$259,561.00 33
Partners for Community Development Milwaukee (Sheboygan)	\$296,935.00 38
Project Home (Madison)	\$271,463.00 35
Racine/Kenosha CAA (Racine)	\$490,307.00 63
Southwest Wisconsin CAP (Dodgeville)	\$134,664.00 17
We Are Hope f/n/a Women's Employment Project (Sturgeon Bay)	\$69,561.00 8
West Central Wisconsin CAA (Glenwood City)	\$369,450.00 48
Western Dairyland EOC (Independence)	\$214,942.00 27
Total:	\$7,074,301.00 909

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	864
Reweatherized Units	45

Note: Planned units by quarter or category are no longer required, no information required for persons.

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	864
C	Total Units Reweatherized	45
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	909
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	\$5,786,969.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	909
H	Average Program Operations Costs per Unit (F divided by G)	\$6,366.30
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,366.30

IV.3 Energy Savings

Method used to calculate savings: <input type="checkbox"/> WAP algorithm <input checked="" type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	909	N/A	24893 *
Prior Year Estimate	0	29.3	0
Prior Year Actual	0	29.3	0
* Energy Savings values were manually entered.			

Method used to calculate savings description:

IV.3 Energy Savings

Method used to calculate savings description:

For all but the most recent program year, natural gas and electricity savings for weatherized homes are measured using monthly utility billing data collected from Wisconsin's five major investor-owned utilities. Billing data from pre- and post-weatherization periods are weather normalized, and pre-weatherization billing data from future program participants are used to correct for non-program factors. The consumption differences between the pre- and post-weatherization billing periods reflect the gas and electric savings for each treated home. Savings estimates are then coupled with data taken from the program's tracking database to develop a statistical model to evaluate savings by measure installed, housing type and other characteristics.

PY16 savings estimates (for homes that do not yet have post-weatherization history) are projections based on the measures installed and the statistical model of energy savings validated by data from PY15 and earlier.

Energy savings, based on Wisconsin's 2017 Self Evaluation Savings (SES) study are projected to average 170 heating therms, or 18% per household and 1,540 baseload kilowatt hours (kWh), or 16% per household. Based on the fuel costs used in Wisconsin's Weatherization Assistant parameters, this equals an annual savings of \$345 per household served. The total energy savings for the planned 787 weatherized units in Wisconsin using Department of Energy (DOE) funds are projected to be 24,893 MBtus annually, amounting to \$5.4 million over the approximate 20-year life of the weatherization measures installed.

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

Fuel Prices for Weatherization Modeling

The Division of Energy, Housing and Community Resources ("DEHCR" or the "Division") reviewed the procedures for identifying the base-year fuel prices and the fuel-price-change indices used in Weatherization Assistant.

Base-Year Price Identification and Fuel-Price-Change Indexing

Wisconsin's methods for establishing base-year prices reflects the concept that energy prices will generally revert to the mean — i.e., that market prices will fluctuate over time and that market forces (supply and demand) will interact and revert to a mean price. In this context, the historic average price is relatively indicative of the long-term trend.

Fuel Oil, Propane (L.P.), Electric

Wisconsin uses the average price from the previous five heating seasons to identify the base-year price for these fuels.

Natural Gas

Based on the potential upward trend in natural gas prices as forecasted by the U.S. Energy Information Administration, Wisconsin blends five historic-price data points and two anticipated-price data points to identify the base-year price for natural gas. The base-year price equals the mean of five years of historic heating-season prices and two years of anticipated heating season prices (Source: EIA Short Term Outlook). The Division believes this approach is the best alternative considering that 1) The downward trend in natural-gas prices over the past several years may be reversing, and 2) A blend of historic prices and anticipated prices would be a logical approach for identifying the base-year price for natural gas in the financial modeling.

Fuel-Price-Change Indexing

To forecast future annual fuel-price changes, Wisconsin uses data from the EIA's Annual Energy Outlook (East North Central region).

The Division will use the base-year prices for Program Year 2017-2018, with the first full year of energy savings encompassing the heating season of 2018-2019 (i.e., the first full winter after weatherization).

IV.4 DOE-Funded Leveraging Activities

IV.4 DOE-Funded Leveraging Activities

Wisconsin is applying for \$300,000 in DOE leverage funds to offset the costs of staff salary, fringe, overhead and supplies and services to operate the joint DOE/Public Benefits weatherization assistance program. Leveraged funds produce program design work, assist subgrantees in training new personnel, work with property owner associations to increase the number of weatherized rental units, and coordinate utility providers' contributions to the state Public Benefits funds.

DOE Leverage funds are vital to the effective use of state Public Benefits funds to increase the number of units and measures completed with DOE funds. Wisconsin's Public Benefits funds enable the weatherization program to address water heater conversion, freezers, and electrical use, thereby providing a "whole house" approach to the program.

The combined weatherization program incorporates the DOE minimum program requirements of:

- Household eligibility
- Use of an approved audit system or measures list
- Household priority for service
- Meet or exceed materials standards
- Average DOE funds per unit does not exceed DOE's maximum
- Preference to existing DOE subgrantees

In addition to an estimated \$36 million of the Public Benefits funds, approximately \$11 million in Low Income Home Energy Assistance Program (LIHEAP) funds will be used to weatherize units.

Non-DOE funded units are reported as leveraged units.

IV.5 Policy Advisory Council Members

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

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

Daliska Smith	Type of organization: Local agency Contact Name: Daliska Smith Phone: 4149062821 Email: dsmith@cr-sdc.org
Diane Zettelmeier	Type of organization: Unit of Local Government Contact Name: Diane Zettelmeier Phone: 4142895744 Email: diane.zettelmeier@milwaukeeccountywi.gov
Gary France	Type of organization: Other Contact Name: Gary France Phone: 7153591075 Email: gary@francepropane.com
Geraldine Spielbauer	Type of organization: Utility Contact Name: Geraldine Spielbauer Phone: 6082527295 Email: jspielbauer@mge.com
Jennifer Fischer	Type of organization: Unit of Local Government Contact Name: Jennifer Fischer Phone: 6082407460 Email: fischer@countyofdane.com
Jesse Noyola	Type of organization: Unit of Local Government Contact Name: Jesse Noyola Phone: 2626974629 Email: Jesse.Noyola@kenoshacounty.org
Kelly Swan	Type of organization: Unit of Local Government Contact Name: Kelly Swan Phone: 7154684760 Email: kswan@co.washburn.wi.us
Kristy Nieto	Type of organization: Unit of State Government Contact Name: Kristy Nieto Phone: 6082661267 Email: kristy.nieto@wisconsin.gov
Lucio Fuentez	Type of organization: Local agency Contact Name: Lucio Fuentez Phone: (920)459-2788 Email: lucio@partners4cd.com
Mike Hodges	Type of organization: Utility Contact Name: Mike Hodges Phone: 6088344566 Email: mhodges@wppienergy.org
Mike Mueller	Type of organization: Utility Contact Name: We Energies Phone: (414)221-2521 Email: michael.mueller@we-energies.com
Patrick Boland	Type of organization: Utility Contact Name: Xcel Energy Phone: (651)639-4407 Email: patrick.j.boland@xcelenergy.com
Phyllis Novinskie	Type of organization: Local agency Contact Name: Phyllis Novinskie Phone: (608)943-6909 Email: p.novinskie@swcap.org
Robert Jones	Type of organization: Non-profit (not a financial institution) Contact Name: WISCAP Association Phone: (608)244-0466 Email: bjones@wiscap.org
	Type of organization: Non-profit (not a financial institution)

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

Stephanie Drum	Contact Name: Stephanie Drum Phone: 6082463444229 Email: drum@eri-wi.org
Timothy Bruer	Type of organization: Non-profit (not a financial institution) Contact Name: Timothy Bruer Phone: 6082837678 Email: tbruer@eswi.com
Todd Stuart	Type of organization: Non-profit (not a financial institution) Contact Name: Todd Stuart Phone: 6084415740 Email: tstuart@wieg.org
Valerie Filz	Type of organization: Local agency Contact Name: Valerie Filz Phone: (920)834-4621 Email: valfilz@newcap.org

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
02/07/2017	A public hearing notice was advertised in the Wisconsin State Journal for a hearing on Tuesday, February 7, 2017 (see Attachment 2). The public hearing notice was also distributed to Weatherization Assistance Program Grantees in a Division broadcast e-mail on January 26, 2017. The public hearing transcript is included as Attachment 3.

IV.7 Miscellaneous

Policy Advisory Council Meeting

Wisconsin's Policy Advisory Council (PAC), named the Low Income Energy Advisory Committee (LIEAC), was established to provide feedback to the Division on weatherization and energy assistance issues, including approval of annual plans. LIEAC meets up to four times per year, and as-needed. Per 10 CFR 440.17, LIEAC members are broadly representative of organizations and agencies, including consumer groups that represent low-income persons, particularly elderly, persons with a disability, and Native Americans in Wisconsin.

A LIEAC meeting was held February 8, 2017 via conference call. Wisconsin's DOE Annual and Master Plans for Program Year 2017 were approved by LIEAC. The minutes of the LIEAC meeting are included as Attachment 1.

IV.6 Hearings and Transcripts

Public Hearing Notice

**Division of Energy, Housing and Community Resources
Department of Administration Building
101 E. Wilson St., 1st Floor, Room 132
Madison, WI 53703
February 7, 2017
1:00 PM**

Testimony will be accepted on the Program Year (PY)2017 application to the U.S. Department of Energy (DOE) for funding of the Weatherization Assistance Program for low income persons and on local operators of the program. Potential operators of the program include:

- ADVOCAP, Inc.
- Ashland County Housing Authority
- CAP Services, Inc.
- Central Wisconsin CAC, Inc.
- Community Action, Inc. of Rock/Walworth Counties
- Coulecap, Inc.
- Hartford Community Development Authority
- Indianhead CAA, Inc.
- La Casa de Esperanza, Inc.
- NEWCAP, Inc.
- North Central CAP, Inc.
- Outagamie County Housing Authority

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

(Grant Number: EE0007959, State: WI, Program Year: 2017)

Partners for Community Development, Inc.
Project Home, Inc.
Racine/Kenosha CAA
Social Development Commission
Southwestern Wisconsin CAP
We Are HOPE, Inc.
West Central Wisconsin CAP
Western Dairyland EOC, Inc.

Those wishing to speak shall arrive no later than 1:30 PM Tuesday, February 7. Written comments on the draft application items may be sent to the address or email below to arrive no later than 5:00 PM, Tuesday, February 7, 2017. Written comments will receive equal consideration with testimony given at the public hearing. If you would benefit from a sign language interpreter or other accommodations, please let us know as soon as possible so that arrangements can be made. The Department of Administration (DOA) building is accessible to individuals with disabilities. To obtain copies of the draft application items, please use one of the following methods:

Access them online at www.homeenergyplus.wi.gov – select Grantee Information, WisWAP Grantee Information, and then select Draft PY2017 DOE Annual Plan or Draft PY2017 DOE Master Plan.

Write to:

Weatherization Assistance Program
DOA – Division of Energy, Housing and Community Resources
PO Box 7970
Madison, WI 53707-7970

Contact: Mary Meunier

Email: mary.meunier@wisconsin.gov

Phone: (608) 266-2758

IV.7 Miscellaneous

Annual File funding allocations are for planning purposes and are subject to change. Final allocations will include adjustments necessary to align with final DOE appropriations for the Weatherization Assistance Program. The amended plan and budget will include updated energy savings data and any additional policy updates effective July 1, 2017.

Recipient Business Officer and Recipient Principal Investigator

	Business Officer	Prinicipal Investigator
Name	Susan Brown	Kris Haskin
E-mail Address	Susan.Brown@wisconsin.gov	Kristine.Haskin@wisconsin.gov
Phone Number	608-266-2035	608-266-2793

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

(Grant Number: EE0007959, State: WI, 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

General Description

Owners and renters with income levels up to 60% of the State Median Income may receive services. Priority is given to households with children under 6, elderly or disabled members, and households with a high energy burden.

Describe what household Eligibility basis will be used in the Program

Procedures to determine that units weatherized have eligibility documentation:

V.1.1 Approach to Determining Client Eligibility:

Wisconsin adopted for its Weatherization Assistance Program (WAP) eligibility the same guidelines used statewide in the Low Income Home Energy Assistance Program (LIHEAP). A household is eligible for weatherization services when the Wisconsin Department of Administration, Division of Energy, Housing and Community Resources (DEHCR or 'Division') has certified the household to be eligible for LIHEAP, based on the following criteria from 10 CFR Part 440.22:

(a) A dwelling unit shall be eligible for weatherization assistance under this part if it is occupied by a family unit:

- (1) With an income at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.
- (2) Which contains a member who has 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 period preceding the determination of eligibility for weatherization assistance; or
- (3) If the State elects, is 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 determined in accordance with criteria established by the Director of the Office of Management and Budget.

Income Verification

Wisconsin has a combined LIHEAP and WAP application intake process that provides all of the applications for weatherization subgrantees. The Wisconsin Home Energy Assistance Program (WHEAP) income limit equaling 60% of State Median Income (SMI) is used to provide consistency of service and allow shared systems and programming for data collection, entry, and reporting. If a household is over 60% State Median Income (SMI) and ineligible for Energy Assistance but below 200% Federal Poverty Level (FPL), then they are eligible for Weatherization Services and referred to subgrantee. Since 60% SMI is very close to 200% FPL in WI, this applies to a very small number of households.

The Division has established written policies, incorporated in the Weatherization Program Manual, which set forth procedures to determine dwelling unit priority [440.16]. Written policies cover income eligibility, determination of rental property eligibility, and assurance of tenant benefit from weatherization services. An energy audit must be completed within 12 months from the certification date or the eligibility of the household needs to be re-established by re-applying for WHEAP. Wisconsin complies with all household and building eligibility criteria outlined in 10 CFR 440.22.

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

Qualified Aliens Eligibility for Benefits

Non-citizen applicants to the LIHEAP program in Wisconsin are determined to be either eligible non-citizens or ineligible non-citizens. Eligibility for non-citizens is determined based on an individual's lawful status in the United States as defined by the United States Citizenship and Immigration Services (USCIS). Only Eligible Non-citizens are eligible for LIHEAP and the Wisconsin Weatherization Assistance Program.

In order to be defined an Eligible Non-citizen, an individual must have a valid Social Security Number (SSN) issued by the Social Security Administration, which passes the verification system in the Home Energy Plus (HE+) System. The HE+ System verifies the SSN of all household members through the Social Security Administration using the Master Customer Index database administered by the State of Wisconsin Department of Health Services. In addition to a valid SSN, the individual's lawful status must be one of the eligible statuses listed in the WHEAP Operations Manual, Section 2.2.4. Applicants are required to provide non-expired documentation which validates their lawful status in the United States.

Individuals who do not have a valid SSN and/or immigration status are marked as Ineligible Non-citizens and are not eligible for either program.

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V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

The Division has established written policies, incorporated in the Weatherization Program Manual, which set forth procedures such as verifying ownership, denying or deferring services, and using Weatherization Assistant, to determine building eligibility.

Procedures to determine that units weatherized have eligibility documentation:

The combined LIHEAP and WAP application intake process provides all of the applications for weatherization subgrantees. The Wisconsin Home Energy Assistance Program (WHEAP) income limit equaling 60% of state median income will be used to provide consistency of service and allow shared systems and programming for data collection, entry, and reporting.

Describe Reweathering compliance

Reweathering

Wisconsin permits the re-weatherization of units completed through September 30, 1994. Units previously weatherized may receive any additional measures as determined by an assessment utilizing DOE approved energy audit protocol. By following this procedure, Wisconsin is identifying units that did not receive the full complement of weatherization services previously. Otherwise, a unit may only be reweatherized if such dwelling unit has been damaged by fire, flood, or an act of God and repair of the damage to weatherization materials is not paid for by insurance, per 440(18)(2)(ii).

Describe what structures are eligible for weatherization

Eligible Structures

To be considered for weatherization, a dwelling must be a structure, including a stationary mobile home, apartment, group of rooms, or a single room occupied as separate living quarters (including historic properties), and qualified shelters or other group facilities. Government institutions, halfway houses, nursing homes, recreational vehicles (RVs), cars, trucks or tents are not eligible dwellings for weatherization services. Properties having only a commercial use are not eligible for weatherization. Properties fifty years old or older must be reviewed for possible historic status or features and shall be weatherized only in such a way as complies with the State Historic Preservation Officer (SHPO) Programmatic Agreement. Weatherization of a dwelling unit which is designated for acquisition or clearance by a Federal, State, or local program within 12 months from the completion date of weatherization is not allowed.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units

Wisconsin has an extensive policy regarding the weatherization of rental property, including procedures to document that the tenant receives the benefits of weatherization [440.22 (b)]. Owners of rental buildings containing two or more units may be required to contribute to the cost of weatherization [440.22(d)].

Language from the Wisconsin Weatherization Program Manual addresses the DOE requirements regarding limits on rent increases and undue enhancement. Renters are notified of the stipulations on rent increases. Compliance is monitored at on-site administrative review visits to subgrantees. Rental property owners must provide signature approval of work to be performed on a standardized Rental Work Agreement prior to commencement of work. Renters are provided a copy of the work agreement. The Division has established an arbitration procedure for disputes relating to violations of rental agreements. Tenants and property owners are notified of this process at the time of weatherization. As part of the rental agreement, landlords must agree to repayment of weatherization service for violation of the agreement [440.22(c)].

When DOE funds are used to weatherize multi-unit buildings, Wisconsin requires that 66 percent or more (50 percent for 2 and 4 unit buildings) of the dwelling units in the building are occupied by eligible applicants. Multi-family buildings that have 25 or more units are considered on a case-by-case basis and completion is managed by the local subgrantee with extensive oversight by the Division to ensure work completed meets all applicable federal requirements.

Describe the deferral Process

Deferral

Wisconsin has a detailed policy and clear procedures for subgrantees to follow when deferral is necessary. Subgrantees are required to provide notification of deferral within five working days upon decision to defer services, and provide a reasonable timeframe for applicants to address the cause of the deferral. Reasons for deferral include structural or other issues that would limit the effectiveness or reduce the lifetime of measures (such as in a home needing roof replacement). There are also health and safety reasons that may warrant deferral of a unit. Additional information on deferrals is found in section V.7 Health and Safety, under part D.

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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.

The Division provides weatherization services to eligible Native American households both on and off reservations [440.16(f)]. The State will apportion funds to the tribes for outreach. Where a Tribal household is in alignment with the DOE priority definition, the Tribal referrals shall be given priority for service by weatherization subgrantees. Off-reservation households of Native Americans will be served by local agencies in that service area according to the same prioritization as non-Native households.

V.2 Selection of Areas to Be Served

Weatherization services are provided on a statewide basis. The Division contracts with Community Action Agencies and a variety of other public and nonprofit entities to deliver weatherization services [440.15(a)(1)]. Public comment is solicited on the selection of subgrantees as part of the public hearing on the draft application for DOE funds [440.15(a)(2)]. In selecting subgrantees, preference is given to any agency with experience and performance in weatherization or housing renovation, in assisting low income persons in the area, and currently administering a timely and effective weatherization program [440.15(a)(2)(i,ii,iii)]. This is done to maintain stability so that clients can readily identify where they may receive needed services.

Selection of new or additional subgrantees will be made in accordance with the requirements of 440.15(d) and include consideration of:

- a. The extent to which the weatherization goals set forth in the contract are achieved in a timely fashion;
- b. The quality of work performed;
- c. The number, qualifications, and experience of the staff;
- d. The ability to secure volunteers, training participants, public service employment workers, and other federal or state training programs or resources.

If the Division finds that a subgrantee has failed to comply substantially and should be replaced, notice is given to the subgrantee of the failure and the action intended by the Division [440.15(c)].

Funding allocations among the subgrantees [440.15(b)] are made according to a population-weighted degree-day formula, shown below, which complies with the requirement to allocate on the basis of relative need. The formula is used to determine overall agency funding except for Training and Technical Assistance (T&TA). Any additional DOE funds received during the year will be allocated to local agencies according to the same formula.

The allocation formula is:

$$\text{CDD} \times \text{CPH} \times 100 = \text{County allocation}$$
$$\text{SCDDH percentage}$$

where:

CDD is the average county degree-days
CPH is the county persons eligible for Low Income Home Energy Assistance (LIHEAP)
SCDDH is the sum of the county degree days multiplied by LIHEAP eligible households

V.3 Priorities for Service Delivery

The State of Wisconsin requires subgrantees to prioritize weatherization services to the elderly, disabled persons, households with children under six years old and households with a high energy burden (440.16(b)). Eligible households are assigned a priority identification number and added to a referral list maintained by the Division. The priority identification number is generated based on factors including the household energy burden, and whether the household includes members that are elderly, disabled, or under six years old. The

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referral list is updated weekly and available to subgrantees electronically. Subgrantees select referrals from the list based on priority identification number and actual energy use data (when available).

V.4 Climatic Conditions

Extreme temperatures characterize Wisconsin's winter climate, with extended cold seasons in both autumn and spring [440.14(b)(2)]. Wisconsin's location near the center of the North American continent gives the state a typical continental climate with a large annual range in temperature. Wisconsin has major seasonal temperature changes and a significant north-south temperature gradient. The prevailing northwesterly wind pattern and complete lack of a mountain barrier toward the Arctic leave the state open to Arctic air masses. The coldest month, January, has average temperatures from 9 degrees in the northwest to 18 degrees in the southeast. These features indicate a strong need for weatherization. (Information from State Climatologist)

For the purpose of reducing the cost of home heating, one mechanism for assessing climatic conditions is the use of degree days [440.14(b)(2)]. Degree days are the difference between the outside temperature and a constant 65-degree indoor temperature. In Wisconsin, the normal heating degree days range from a low of 6,894 to a high of 9,033.

Wisconsin Normal Heating Degree Days

Thirty Year Average by County, 1981 – 2010

County	Degree Days	County	Degree Days	County	Degree Days
Adams	7,917	Iowa	7,574	Polk	8,628
Ashland	8,828	Iron	8,828	Portage	7,917
Barron	8,628	Jackson	7,959	Price	8,828
Bayfield	9,033	Jefferson	7,333	Racine	6,894
Brown	7,955	Juneau	7,917	Richland	7,574
Buffalo	7,959	Kenosha	6,894	Rock	7,333
Burnett	8,628	Kewaunee	7,955	Rusk	8,628
Calumet	7,955	LaCrosse	7,959	Sauk	7,574
Chippewa	8,628	Lafayette	7,574	Sawyer	8,628
Clark	8,106	Langlade	8,391.50	Shawano	8,391.50
Columbia	7,333	Lincoln	8,106	Sheboygan	7,955
Crawford	7,574	Manitowoc	7,955	St. Croix	7,959
Dane	7,333	Marathon	8,106	Taylor	8,106
Dodge	7,333	Marinette	8,391.50	Trempealeau	7,959
Door	7,955	Marquette	7,917	Vernon	7,574
Douglas	9,033	Menominee	8,391.50	Vilas	8,828
Dunn	7,959	Milwaukee	6,894	Walworth	6,894
Eau Claire	7,959	Monroe	7,959	Washburn	8,628
Florence	8,391.50	Oconto	8,391.50	Washington	6,894
Fond du Lac	7,955	Oneida	8,828	Waukesha	6,894
Forest	8,391.50	Outagamie	7,955	Waupaca	7,917
Grant	7,574	Ozaukee	6,894	Waushara	7,917
Green	7,333	Pepin	7,959	Winnebago	7,955
Green Lake	7,917	Pierce	7,959	Wood	7,917

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Subgrantees shall, in a satisfactory manner, perform program activities according to the "Weatherization Assistance for Low Income Persons Program" regulations pursuant to Part A, U.S.C. 6861-6872 of Title IV of the Energy Conservation and Production Act, Pub. L.94-385, 90 Stat. Et. Seq: Title 10, Chapter 2, Part 440 (published in the Federal Register), Friday, December 8, 2000, Vol. 65 No. 237.

Wisconsin uses the Wisconsin Weatherization Program Manual and the Wisconsin Weatherization Field Guide to pass along to its subgrantees policies and procedures to be followed. These and more guidance documents are located on the Division's Home Energy Plus website at <http://homeenergyplus.wi.gov/category.asp?linkcatid=494&linkid=122&locid=25>. The Division also issues periodic policy updates and other guidance through emails to subgrantees.

A balanced combination of energy conservation techniques will be utilized in compliance with DOE regulations [440.14(c)(3)]. Since July 1, 2012 major measures are selected by a

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computerized energy audit which has been approved by DOE. Typical work includes instrumented air sealing, insulation of the attic, sidewalls and other areas that define the heating envelope, refrigerator replacement, electric water heater conversion, mechanical adjustments such as heating system cleaning and tune-up, furnace replacements when necessary, and lighting replacement with Energy Star® qualified compact fluorescent light bulbs (CFLs). Wisconsin will supplement these measures with leveraged funds to provide freezer replacement, LED light bulbs and expanded health and safety measures that are necessary to maintain the Indoor Air Quality of weatherized homes. Allowable expenditures are established to meet the requirements of 10 CFR Part 440.18. All work is performed according to DOE approved energy audit procedures. All materials and specifications are met per the standards set forth in 10 CFR 440, Appendix A.

WPN 15-4, Section 1: Definition of Work Quality Guidelines and Standards

All measures and incidental repairs performed on client homes must meet the specifications provided in the Weatherization Program Manual and Weatherization Field Guide. The current versions of these guidance documents are available on the Home Energy Plus website: <http://homeenergyplus.wi.gov/category.asp?linkcatid=494&linkid=122&locid=25>.

During PY 2014 Wisconsin reviewed and revised the Weatherization Field Guide to ensure all standards meet or exceed the minimum standards in the relevant SWS requirements as required by WPN 15-4 Section 1. The Field Guide was finalized in April 2015, to comply with the appropriate SWS for each procedure and was approved by our DOE Project Officer. Wisconsin Request for Bid templates include a requirement that subgrantees ensure contractor agreements are tied to program requirements contained in technical guides and materials.

WPN 15-4 Section 2: Communication of Guidelines and Standards

All subgrantee agreements and contracts contain language which requires that work performed meets the technical specifications for field work provided in the Weatherization Program Manual and Weatherization Field Guide. The Grantee contract requires subgrantees install allowable weatherization measures per the Wisconsin Weatherization Program Manual, and federal and state regulations (Article 5. Scope of Work). All work is being performed in accordance with DOE-approved audit procedures (see V.5.2 below) and 10 CFR 440 Appendix A.

In April 2014, Wisconsin updated the Weatherization Program Manual to clarify that subgrantees are required to identify and provide the applicable technical standards and specifications in every procurement action. In addition, in April 2014 Wisconsin updated the Request for Bid templates used by subgrantees to ensure that contract agreements are tied to our program requirements and the related Standard Work Specifications (SWS) incorporated into our program documents. These updates were communicated to all subgrantees via e-mail in April 2014 and at our Annual Meeting in May 2014. Attendance at the Annual Meeting is mandatory for all subgrantees. During Program Year 2017 Wisconsin will again cross-walk the Standard Work Specifications with program documents and work with the subgrantee network to prepare for implementation of any necessary changes in Program Year 2018.

Updates are made to the Weatherization Program Manual and Weatherization Field Guide annually and the documents are distributed electronically to all subgrantees via broadcast e-mail and published on the Home Energy Plus website on or before July 1. A signature on the weatherization contract will serve as proof of receipt.

The Division provides follow-up and clarification upon request through our Help Desk (via e-mail and telephone), through broadcast e-mails sent to all subgrantees, and at bimonthly Weatherization Operators of Wisconsin organization meetings.

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family :	Energy audit procedures and related protocols and standards were approved by DOE on March 7, 2013.
Manufactured Housing :	Energy audit procedures and related protocols and standards were re-approved by DOE on March 7, 2013.
Multi-Family :	Wisconsin received re-approval to use NEAT (Version. 8.6 or higher) to model 5 to 24 unit buildings on March 7, 2013. Wisconsin's package of 25+ unit energy audit procedures, measures specifications and standards was approved by DOE on June 1, 2011.

Comments

In March 2013 DOE approved Wisconsin's Audit Procedures, including Appendix B of the Weatherization Program Manual which outlines our procedures for fuel switching furnaces and water heaters. Fuel switching is allowable when the site-specific energy audit demonstrates the cost effectiveness of the fuel switch over the life of the measure as indicated by the Savings to Investment Ratio (SIR). The audit libraries contain all utility cost information to provide accurate data for the fuel switch decision. If a heat pump or other combined heating-and-cooling system is to replace a heating only (or cooling-only) system, no savings will be attributed to the cooling (or heating) system that was previously not being used in the home, but all the costs of running the system throughout the year will be included in the audit.

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One to Twenty-Four Unit Buildings

Wisconsin models all 1 to 24 unit buildings with NEAT. Each energy conservation measure must have an SIR of at least 1.0 and the total job SIR must also be at least 1.0. The Division has developed separate databases (including enabled measures and set-up libraries) for 1 to 4 unit buildings and 5 to 24 unit buildings. Wisconsin will follow all applicable guidance in WPN 16-8 when preparing the energy audit submittal during Program Year 2017.

Manufactured Housing

Wisconsin uses MHEA (Version 8.9) to model manufactured homes if bulk fuel or electric is the primary heating fuel. All energy conservation measures must have an SIR of at least 1.0. The total job SIR must also be at least 1.0. In July 2015 Wisconsin discontinued use of MHEA for natural gas manufactured homes and began using a measures list. The measures list was developed based on an analysis of several previous years of actual energy savings data from Wisconsin's Self Evaluation Savings studies, and a comparison of MHEA estimated costs to actual reported costs for the most recent program year. Leveraged funds are used to weatherize manufactured homes.

Multifamily

The TREAT audit (Version 3.0 or newer) is used to model buildings with 25 units or more. Wisconsin's package of 25+ unit energy audit procedures, measures specifications, and standards was approved by DOE on June 1, 2011. Leveraged funds are used to weatherize multifamily buildings and Wisconsin does not plan to renew the 25+ unit audit approval protocol.

V.5.3 Final Inspection

A final inspection is performed by subgrantee staff on every unit prior to reporting the unit as completed [440.16(g)]. Generally, the final inspection will not be performed by the person who did the initial energy audit of a property. In all cases the final inspection is performed by someone other than staff who performed the weatherization work. The Division recommends subgrantees to perform "real-time" final inspections when possible, a process improvement initiative to have the final inspector on-site on the last day of scheduled crew work. This improves responsiveness and efficiency of program operations by allowing crew workers to immediately address unsatisfactory work.

WPN 15-4 Section 3: Inspection and Monitoring of Work Using Guidelines and Standards

All subgrantee final inspections for completions reported in PY 2016 and beyond will be performed by certified Quality Control Inspectors as outlined in WPN 15-4 Section 3. Wisconsin is implementing a Grantee-Developed Quality Control Inspection Policy to ensure compliance with WPN 15-4. The Division's goal is to have a sufficient number of certified QCI professionals in the subgrantee network so that the certified QCI performing the final inspection did not perform the initial energy audit. The Division will provide subgrantees two options for final inspection procedures in PY16:

- Final inspections are performed by a certified QCI professional who did not perform the initial energy audit and was not a crew member who completed the weatherization work. Quality assurance reviews will be performed on at least 5 percent of completed units.
- Final inspections are performed by a certified QCI who also performed the initial energy audit but was not a crew member who completed the weatherization work. Quality assurance reviews will be performed on at least 10 percent of completed units.

As of April 2016, Wisconsin has 60 QCI certified staff in the Weatherization Assistance Program network: 46 subgrantee staff and 7 Division Staff and 7 employees of subcontractors that complete monitoring visits (see Section V.8.3 Monitoring Activities). The Division's goal is to have at least two certified QCI on staff at each subgrantee, where reasonable, and the Division is working with subgrantees to increase the number of QCI certified staff. QCI trainings and exams are being proctored by the Wisconsin Energy Conservation Corporation (see Section V.8.4 Training and Technical Assistance Approach and Activities), an IREC accredited training provider. The Division will be monitoring certification through the BPI website and certification dates provided by subgrantee staff to validate QCI credentials.

Inadequate inspection practices will be identified by Division Quality Assurance staff during monitoring visits (see Section V.8.3 Monitoring Activities). Disciplinary actions for inadequate inspection practices will be reviewed on a case-by-case basis. When disciplinary action is warranted, a corrective action plan will be developed and implemented based upon the significance of the finding.

V.6 Weatherization Analysis of Effectiveness

Quality assurance is the ongoing process of establishing clear, measurable expected outcomes of weatherization technology. The Division continually gathers and analyzes data on housing types, frequency of measures installed, ranges for costs of installed measures and the direct effect of the installed measures. Much of the data is provided directly by subgrantees in the individual job reports completed in the Wisconsin WAP online reporting database, WisWAP. Reports are generated to assist Division Quality Assurance staff with unit selection to ensure the on-site monitoring visits will create the best opportunities to review measures that may need improvement at a local level and to review jobs that

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may have higher measure costs. This allows Division staff to determine what training might improve quality of work by local subgrantees. During the on-site visits, customers are interviewed to verify customer understanding of completed work and assess their level of satisfaction with the work performed.

Division staff works directly on measure value and quality assessment with Seventhwave and Wisconsin Energy Conservation Corporation (WECC). The outcome of the evaluations may be used to develop training curriculums and adjustments in measures provided. The Self Evaluation Savings (SES) study conducted annually provides critical data on the projected energy and monetary savings of weatherization work performed. Through this study, the Division can analyze trends in savings over multiple years and compare savings and costs among the subgrantees. The SES assists in directing policy decisions, identifying best practices being used at some agencies and targeting training and technical assistance resources.

Communication is an essential part of the process. The Division participates with subgrantees in a variety of venues including the state association for Community Action Agencies (WISCAP), Weatherization Operators of Wisconsin (WOW), and the Hudson group (mostly comprised of energy auditors and production managers from subgrantee weatherization programs). These groups encourage open discussion regarding ways to improve low-income weatherization services and provide a setting to inform grantees of program modifications. The Division supports the formation of focus groups to support the development of energy related technology such as the Technical Development Work Group (TDWG). Such groups provide technical support and data to validate proposals.

The Division sponsors annual and periodic Grantee Meetings for specific needs to ensure all subgrantees receive information regarding contract and policy updates. Attendance at Grantee meetings is required.

V.7 Health and Safety

A. Comprehensive Health and Safety Plan

The Division has reviewed in detail DOE's Weatherization Health and Safety Guidance provided in WPN 11-06. Wisconsin's Health and Safety policy has been in place since 2005, and has evolved as new information and materials become available. We are currently in compliance with the requirements outlined in WPN 11-06.

The Division sets overall Health and Safety (H&S) policy for the Weatherization Assistance Program in accordance with DOE's regulations and guidance. Wisconsin acknowledges that within those policy guidelines there are other local, state, and federal authorities that have jurisdiction over specific hazards and how those hazards must be addressed. The requirement to meet all applicable regulations and codes is referenced in the Wisconsin Field Guide and in numerous citations in the state's Weatherization Program Manual. To meet multiple H&S requirements, DES provides resources and policy guidelines for addressing weatherization related H&S repairs, safety equipment, training and technical support.

The Division provides its weatherization subgrantees with an allocation of funds, identified as a budget line item, to be used for required H&S activities on buildings being weatherized. H&S costs are budgeted as a separate category. The H&S budget is \$350,000 or 5% of the subgrantee allocation. The ACPU is \$6,366.30, 5% would equal an average of approximately \$318 per dwelling unit for health and safety. Multiple funding sources are used for H&S repair measures, including DOE WAP funds. The Division restricts the use of WAP funds to DOE allowable activities through a reporting mechanism in WisWAP that limits which funds can be allocated to each measure. Furthermore, WisWAP system controls are in place to ensure the Grantee cannot charge to a non-allowed DOE H&S activity. H&S related measures are reported separately in the WisWAP reporting system. The purchase and maintenance of personal protective equipment and other safety equipment is allowed. Each grantee has a local Training and Technical Assistance budget and those funds may be used to provide training and certifications as needed to address H&S issues.

Wisconsin defines Health and Safety measures as the cost of materials and labor needed to eliminate or reduce hazards existing before, or potentially resulting from the installation of weatherization materials. To control costs and ensure that these measures are considered in the context of the weatherization work being done, whenever the estimated costs for H&S measures exceed \$1,000, they must be included in the building's Savings to Investment Ratio (SIR), and the building SIR must be 1.0 or greater. Ventilation costs for indoor air quality are exempt when calculating the \$1,000. Buildings that cannot be weatherized without the H&S measures must be deferred. **The cost of incidental repairs, if such repairs are necessary to make the installation of weatherization materials effective, are allowed costs when NEAT/MHEA auditing requirements have been followed as required.**

Wisconsin's guidance to subgrantees is to model all H&S measures as an energy conservation measure first, prior to designating it as an H&S measure. While the cost of H&S measures may be modeled with a specific energy conservation measure, they are charged to a separate budget cost category in our WisWAP reporting system. This allows DES to track and manage all H&S costs.

All Wisconsin WAP subgrantees are required to carry workers compensation and contractor liability insurance. Subcontractors are required to provide proof of insurance to the subgrantees prior to working on any dwellings. Wisconsin does not require that subgrantees have liability insurance for mold. Pollution Occurrence Insurance is strongly recommended to subgrantees.

B. Client Health and Safety

Subgrantees are required to identify Health and Safety hazards during the energy audit/assessment, notify the property owner and occupants of these hazards and, depending on the type and extent of the problem, eliminate the identified hazards when they are present prior to or during weatherization activities. The Health and Safety Checklist is required for every job, and includes the customer name, address, and date of inspection. It is signed by the customer and the energy auditor and maintained in the customer file. This document includes hazards identified in the home and indicates whether they may be addressed through the weatherization program. As stated previously, if the H&S hazards cannot be eliminated, service to the building must be deferred (see section D, below).

All customers receive the EPA informational pamphlets "A Brief Guide to Mold, Moisture and Your Home," "The Lead-Safe Certified Guide to Renovate Right," and "A Citizen's Guide to Radon." Customer signatures are obtained to verify receipt of these items. When appropriate, additional educational materials such as the EPA booklet, "Indoor Air Hazards" may be provided to customers.

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C. Crew and Contractor Health and Safety

Crew and contractor safety is the responsibility of the subgrantee. In contracting with the subgrantees, the State of Wisconsin assumes compliance with all applicable federal, state, and local safety and health regulations. The Wisconsin Weatherization Program Manual includes a written policy stating services shall be deferred when the dwelling or household presents a serious crew safety concern. The subgrantee is responsible for enforcing all work rules to ensure a safe working environment for the workers, customers, and subcontractors.

The subgrantee is responsible for ensuring workers and subcontractors are properly trained and certified when certification is required. As stated above, DES allocates a local Training and Technical Assistance budget and provides direct trainings statewide via a subcontractor. We provide ten and thirty-hour OSHA construction safety training and will continue to offer this course as needed. Wisconsin also has an internet-based MSDS system for worker access to all current data sheets.

The State of Wisconsin requires subgrantees to purchase and equip their crews and energy auditors with the appropriate personal protective equipment necessary to perform work tasks. Supplies and equipment purchased may include respirators, protective coveralls, safety glasses, HEPA vacuums, supplied air respirator systems, and other safety needs. Wisconsin also specifies that respirator training and fit testing are required of crew personnel and other local staff as applicable.

Administrative reviews of subgrantees include verification that OSHA worker safety requirements are being implemented (MSDS, Personal Protective Equipment, lead and asbestos compliance, etc.). Onsite monitoring also includes checks that worker safety requirements are followed at in-progress jobs. Failure to comply with all state and federal safety and health regulations may result in the suspension or termination of the weatherization contract.

D. Deferral of Service

Wisconsin has a well-established set of deferral standards. Wisconsin has a standardized Deferral of Service Notification form which is used to document and notify applicants of conditions that require service to be deferred. The applicant receives a written notification within five working days of the decision to defer service. The form includes the customer name and address and the date of inspection. Also included with the notice are a specific description of what issues need to be addressed for work to proceed, and the subgrantee's applicant appeal procedures. The form is delivered in person or sent by mail. When service is deferred, the owner or occupant shall be given a reasonable timeframe to correct the problem. Examples of the reasons for the deferral of services include health and safety problems which drop the building's cumulative SIR below 1.0, standing water, pervasive mold, uncontrolled sewage, or animal feces.

E. Disposal of Hazardous Materials

This requirement is addressed in specifications in the Weatherization Program Manual. Specific costs may be addressed as part of the measures costs or may be included as a health and safety cost. Examples include, 1) Proper disposal and recycling of replaced refrigerators is included in the replacement bid specifications, and 2) Proper disposal of ACM is included with the asbestos health and safety costs.

F. Health and Safety Issues

1. Air Conditioning and Heating Systems

Air conditioning installation or replacement is currently not allowed. Heating system replacement and repair for health and safety is allowed, and must be modeled with the electronic energy audit. Subgrantees are required to use a heating system sizing calculator which takes into account climatic conditions. These include REScheck, ACCA Manual J, or an equivalent industry accepted sizing formula.

2. Appliances and Water Heaters

Current policy allows for appliance repair. Water heater replacement as a health and safety measure is allowed, and must be modeled with the electronic energy audit.

3. Asbestos - in siding, walls, ceilings, etc.

As part of every building assessment, subgrantee energy auditors are trained to identify potential asbestos containing products, and will notify the program participant of the existence of any suspect or presumed asbestos containing material (PACM) that may represent a hazard or will be disturbed during weatherization. The State of Wisconsin requires subgrantees to have all field staff trained in Asbestos Operations and Maintenance (O&M) at a minimum. This training allows an installer to work safely around asbestos in the course of the weatherization work if there is limited disturbance.

Under the program's Asbestos Containing Materials Policy and Procedures, subgrantees are allowed to complete higher levels of asbestos training to ensure compliance with EPA, OSHA, DOE, HUD, and Wisconsin Department of Health Services regulations. The higher level training will reduce the potential for deferral of some of Wisconsin's highest energy usage households. The policy requires at least one certified Asbestos Supervisor/Inspector at each agency that is responsible for ensuring workers receive O&M training, use proper procedures and equipment, and who can determine when a job exceeds O&M levels. The complete asbestos policy can be found in the Wisconsin Weatherization Program Manual.

Any disturbance of more ACM than is allowed with O&M training must be completed by certified Asbestos Workers and Supervisors. If weatherization program funds are used for this work, the total cost must be modeled with a DOE approved computerized energy audit and carry a SIR of 1.0 or more for the measure and the job. If completion of the asbestos work and the measure do not generate an SIR of 1.0 or greater, the energy auditor will refer the participant to other rehabilitation programs for alternative assistance. If a major weatherization measure cannot be completed due to ACM, the unit may require deferral.

4. Asbestos - in vermiculite

Subgrantees are required by the Wisconsin Department of Health Services (DHS) to treat vermiculite insulation as ACM. Subgrantees are instructed to minimize disturbance of vermiculite when completing weatherization and may insulate over it where feasible, but not remove it.

5. Asbestos - on pipes, furnaces, other small covered surfaces

Any disturbance of more ACM than is allowed with O&M training must be completed by certified asbestos Workers and Supervisors following all applicable regulations of authorities having jurisdiction.

6. Biological and Unsanitary Conditions - odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc. Subgrantee audit staff has the responsibility as part of the energy audit/assessment process to identify biological hazards such as mold, odors, raw sewage, or rotting wood. Energy auditors must take any conditions identified into consideration in the selection of measures appropriate for that building. In instances where the hazard is of such a severity as to cause undue safety or health concerns to crews, subcontractor staff, or occupants, the auditor is authorized to defer weatherization until the hazard has been addressed.

7. Building Structure and Roofing

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The State of Wisconsin actively encourages subgrantees to work with all available building repair and rehabilitation programs. Many subgrantees have funding for these services in-house. Wisconsin does allow for incidental repairs necessary for the effective performance or preservation of weatherization materials as discussed previously.

8. Code Compliance

Wisconsin delegates the responsibility of local and state code compliance to its subgrantees. Subgrantees have the responsibility to obtain any permits necessary to perform required weatherization work. Fees for these permits are an allowable expense to the weatherization program. To ensure compliance with appropriate codes, onsite monitoring of the weatherization work performed may be conducted. Training is offered in the Wisconsin Uniform Dwelling codes, National Fuel Gas code, and applicable National Fire Protection Association model codes. State or national code requirements are referenced in Wisconsin's Weatherization Program Manual and Field Guide, where applicable.

9. Combustion Gases

As part of Wisconsin's Air Sealing and safety protocols, the State requires a "test in/test out" standard of safety testing on naturally drafting combustion appliances, as well as the dwelling. All combustion appliances must be inspected prior to weatherization work commencing, and upon completion. Identification of the presence of combustion gases (such as carbon monoxide) is part of the energy auditor's responsibility in the audit/assessment stage of weatherization, the weatherization installers during weatherization work, and the HVAC installer when work is completed on the appliance. Energy auditors and inspection staff, as well as crew leaders, have been trained in the use of gas detectors and the techniques for identifying the presence of combustible gases, as well as combustion gases. If the presence of a gas is an imminent threat to the safety of workers and occupants, the utility or gas company must be notified immediately and the building evacuated. Ambient carbon monoxide will be monitored during combustion testing.

In addition, Wisconsin requires a "worst case draft" testing to be performed to ensure that flue gases are not back-drafting into the building. This is accomplished by putting the building into a negative pressure, worst case draft condition and determining if any flue gases are venting into the building. Measurements are made and recorded for later use if necessary. If back-drafting occurs, remediation is required and further tests conducted until the situation is corrected. State of Wisconsin Quality Assurance staff spot check weatherized buildings to ensure that these procedures have been followed. In instances where non-weatherization related combustion appliances are deemed a hazard, the customer is notified of the issue, informed of what steps may be taken to remedy it, and referred to additional funding sources if needed.

10. Drainage - gutters, down spouts, extensions, flashing, sump pumps, landscape, etc.

This topic is addressed in the Mold and Moisture and energy auditor training. The Health & Safety Checklist, Part 2 - Moisture Audit provides a place for the energy auditor to document site conditions for the customer and the file.

11. Electrical, other than Knob-and-Tube Wiring

All replacement heating systems must be on a dedicated circuit. That cost must be factored into the cost of the heating system or the job SIR. When serious deficiencies are present in the existing electrical system, such as an overloaded circuit, subgrantees are required to inform the occupants and owner of the unsafe condition and offer information on other available rehabilitation program resources. No additional load may be added to an already overloaded service. Weatherization services must be deferred if such a condition exists until the condition is remedied.

12. Electrical, Knob-and-Tube Wiring

The Wisconsin WAP, in compliance with the state's electrical code, prohibits the insulation of sidewall cavities with live knob and tube wiring present. In attics and other accessible areas, tenting is required with a minimum of 3 inches of free air clearance around the wiring. All knob and tube wiring is tested to determine if it is still being used to distribute power. In some instances, where an energy audit cost benefit analysis indicates a 1.0 or greater savings to investment ratio (SIR), rewiring of the wall cavities or attics is included as part of the sidewall or attic insulation measure. This work is performed as required by state and local code. When necessary, subgrantees may defer weatherization work until a rehabilitation program replaces the knob and tube wiring. Subgrantees are encouraged to "piggy-back" with rehabilitation programs for aid in removing knob and tube wiring. Note: Contingent on SWS variance request.

13. Fire Hazards

The Wisconsin WAP references the National Fuel Gas Code and the National Fire Protection Association's standards in its training curriculum and standards for installation of combustion appliances. These codes establish minimum clearances from combustible materials for the different components of these appliances.

14. Formaldehyde, Volatile Organic Compounds (VOCs), and other Air Pollutants

Subgrantee energy auditors have responsibility for identifying situations where new carpeting and other products are out-gassing potentially harmful by-products and making appropriate adjustments in the air sealing measures. Currently, Wisconsin Air Sealing Protocols includes adjustments for harmful indoor air quality situations such as smokers being present or the presence of formaldehyde or VOC's. Identifying the presence of formaldehyde or VOC's is included as part of Wisconsin's training of energy auditors. In addition, ventilation is used to address low-level indoor air pollutants.

15. Injury Prevention of Occupants and Weatherization Workers

Problems that would put our field staff at risk usually result in the building being deferred. Hazards that are identified but not addressed are to be noted on the Health & Safety Checklist. The cost of incidental repairs, if such repairs are necessary to make the installation of weatherization materials effective, are allowable costs when electronic auditing requirements have been followed as required. Examples include measures such as repairing stairs and replacing handrails.

16. Lead Based Paint

In accordance with DOE's Lead Safe Weatherization guidelines, Wisconsin's lead policy is that unless a building is certified as "lead-free" all weatherization activities conducted on dwelling units constructed prior to 1978 (target housing) or a child occupied facility (built prior to 1978) shall be performed utilizing lead safe work practices. Subgrantees may also now test painted components with a lead test kit recently approved by the Wisconsin Division of Health Services (DHS) and the EPA. Subgrantees and their subcontractors must also follow the EPA's Lead Renovation Repair and Painting Program (LRRPP) Final Rule when applicable. Wisconsin trains subgrantee staff and subcontractors in Lead Safe Weatherization. Additionally, many are trained and certified as Lead Safe Renovators. Every subgrantee has certified Lead Safe Renovators on staff and all subgrantees are a certified Lead Safe Company (unless they are exempt). The Division has a Minimum Standards for Lead Safe Weatherization policy which is intended to clarify the dual DOE and EPA guidelines, and provide cohesive guidance for meeting both. The complete policy can be found in our Weatherization Program Manual.

The State of Wisconsin Department of Health Services (DHS) received approval from EPA to enforce compliance, and provide training and certification for lead safe renovation through State of Wisconsin, DHS Chapter 163. This statute meets the EPA requirements, and there are some areas where Wisconsin's DHS 163 is more restrictive than EPA's requirements. If there are discrepancies between EPA standards for lead safe procedures and the requirements of DHS 163, the latter will take precedence. Weatherization work follows the most restrictive requirements of the authorities having jurisdiction.

17. Mold and Moisture

Due to the uniqueness of the mold hazard, energy auditors are required to take special care in identifying the presence or conditions that could lead to the presence of mold.

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Wisconsin's Basic Energy Auditor Curriculum devotes an entire unit to moisture control. They must make a visual inspection of the building and identify any location with the presence of mold. In addition, they are required to document the presence of moisture and mold by completing the Moisture and Mold Checklist, part two of the Health and Safety Checklist referenced above. That checklist must be reviewed and signed by the customer and retained in the client file.

In those instances where mold is present, energy auditors are required to inspect the property for possible sources of moisture including air or water leaks, poor thermal barriers, and excessive moisture in the building due to improper ventilation. They are required to inform the participant of the hazards of mold and provide them a copy of the EPA pamphlet entitled, "A Brief Guide to Mold, Moisture and Your Home." Program funds may be used to minimize or eliminate mold causing conditions in conjunction with the installation of energy conservation measures. Mold areas identified that comprise in total less than 10 square feet are not required to be addressed as a part of weatherization. In severe cases, weatherization work must be deferred until the mold hazard has been eliminated.

A second unit of the Basic Energy Auditor curriculum addresses air sealing and diagnostic procedures, with an overview of building tightness testing, depressurization limit testing, worst-case draft testing, carbon monoxide testing and Wisconsin's Deferral of Service policy.

Wisconsin's Weatherization Field Guide, which is focused on installers, deals with moisture control in several sections including Building Shell Measures, Diagnostics Procedures, Mechanical Systems, and an extensive chapter on Health and Safety procedures. The State works with its Technical Development Work Group and training and technical assistance sub-contractor to update the Field Guide as needed.

As a standard of field practice, every building is assessed for building tightness and ventilation requirements using software based on the ASHRAE 62.2 and ANSI Standards. This software models the building for tightness and identifies the amount of ventilation to install, if needed. Subgrantees are also required to have equipment to measure the rate of exhaust ventilation and moisture meters.

18. Occupant Preexisting or Potential Health Conditions

The subgrantee notifies customers of existing and potential health and safety hazards. If a building occupant discloses any sensitivity to weatherization materials proposed for the unit the subgrantee informs the building occupants of the possible effects of the materials and the post-weatherization conditions of their building. When customers are sensitive to certain weatherization materials or conditions, the related measure may be waived without penalty to the program participant. Whenever possible, it is the responsibility of the subgrantee to devise ways of installing materials to reduce the exposure of the participant or other occupants so that weatherization work may be performed. Possible approaches could include temporary containment areas, HEPA filtered equipment, temporary removal of the individuals that are sensitive to the materials, or alternative installation methods or materials that meet the specifications of the program.

Customer education is an allowable T&TA expense and the Weatherization Customer Guidebook includes H&S information that is site and customer specific. Customers receive specific information when lead hazards, asbestos, or mold is noted in their homes. That information includes both federally required documents and specific information about their home (on the Health and Safety Checklist).

19. Occupational Safety and Health Administration (OSHA) and Crew Safety

To comply with the Hazard Communication Standard (29 CFR 1910.1200), an internet-based Safety Data Sheet system is available for worker access to all current data sheets via Wisconsin's technical assistance contract. Safety Data Sheets are required to be available to workers in printed or digital format, and the information contained in them shall be readily accessible from a work site. All subgrantee staff are trained to applicable OSHA standards. WECC developed an internet-based OSHA GHS Training Module that is available to all Local Training Officers. Ten and thirty-hour OSHA construction safety trainings are provided regularly, as needed for subgrantee staff.

20. Pests

Pest infestations are covered by Wisconsin's Deferral of Service form, "Evidence of infestations of rodents, insects, and/or other vermin."

21. Radon

Wisconsin's field policies require both covering of dirt floors and limiting the amount of negative pressure in the building (therefore discouraging radon to be pulled from the soil or through floor drain). We provide ventilation in the living area of the home which generally pulls fresh air into the home from the outdoors.

In instances where elevated levels of radon have been identified, the energy auditor will defer such weatherization measures that could exacerbate the problem. Weatherization measures that are identified as being cost effective for the dwelling and will reduce the exposure to radon, such as duct sealing in the basement area and air sealing are encouraged. This policy will be reviewed and revised as necessary based on published results of the DOE National Evaluation Air Quality study. All customers are provided the EPA pamphlet, "A Citizen's Guide to Radon."

22. Refrigerant

Wisconsin requires subgrantees to comply with state and federal requirements for the safe and legal disposal of refrigerators. Refrigeration appliances that are replaced must be disposed of according to the environmental standards in the Clean Air Act (1990), Section 608, as amended by Final Rule, 40 CFR 82, May 14, 1993. The local agency, appliance vendor, de-manufacturing center, or other entity recovering the refrigerant must possess an EPA-approved section 608 type-I license or an approved universal certification.

23. Smoke, Carbon Monoxide Detectors, and Fire Extinguishers

The Health and Safety Inspection shall identify the presence of working smoke detectors, as required. Smoke detectors must be installed in the basement of the dwelling and on each habitable floor. Subgrantees install carbon monoxide alarms in the vicinity of sleeping area(s).

Note: Contingent on SWS variance request.

24. Solid Fuel Heating (Wood Stoves, etc.)

Replacement of wood-fueled primary heating systems is considered a Health and Safety measure. Secondary heating systems may be replaced if the system is a safety hazard and cannot be eliminated with the replacement of a primary system. The replacement of the secondary heating system is modeled as a Health and Safety measure with the NEAT audit.

25. Space Heaters, Stand Alone Electric

Repair, replacement, or installation of stand-alone electric space heaters is not allowed as health and safety or energy conservation measure.

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26. Space Heaters, Unvented Combustion

Weatherizing a home with an un-vented space heater is not allowed. Un-vented space heater(s) that may have a harmful effect on the air quality of the home is identified as a reason for deferral of service.

27. Space Heaters, Vented Combustion

Vented combustion space heaters are inspected and tested for safety and efficiency. Unsafe space heaters may be replaced as an energy conservation measure or a health and safety measure if cost effective based on modeling it with the electronic energy audit.

28. Spray Polyurethane Foam (SPF)

Based on EPA and OSHA guidelines, agencies shall address the following issues related to the use of Spray Polyurethane Foam: 1) Hazard Communication 2) Limit Access to Area 3) Personal Protective Equipment 4) Ventilation 5) Flammability 6) Clean up. More detailed guidance is provided in the Weatherization Program Manual. Training is provided to subgrantees on safe and proper use of SPF.

29. Ventilation

Wisconsin will use ASHRAE 62.2-2016 for DOE funded units.

30. Window and Door Replacement, Window Guards

Replacement of doors and windows are modeled with the NEAT audit as either an energy conservation measure or a repair. The replacement must have a savings to investment ratio greater than or equal to 1.0 to be a conservation measure. The job must have a savings to investment ratio greater than or equal to 1.0 for a repair.

V.8 Program Management

V.8.1 Overview and Organization

Overview and Organization

The Division contracts with Community Action Agencies and a variety of public and non-profit entities to deliver weatherization services. Many of these subgrantees also administer housing programs such as CDBG and HOME funded programs (including rehab and first time homebuyer). This results in a comprehensive set of services being offered to the state's low-income customers.

In addition to the Low-Income Weatherization Assistance Program, the Division also houses the Low-Income Home Energy Assistance Program and an Emergency Furnace Program. Together, these low-income assistance programs make up Home Energy Plus. The Division also maintains close working relationships with the state's utilities to ensure coordination of services between programs offered by utilities and the state's Weatherization Assistance Program.

The Division retains staff to conduct on-site monitoring of contracts, perform field inspections of projects, and provide technical assistance and oversight to subgrantees.

The Low Income Energy Advisory Committee (LIEAC) is established to meet the requirements of 440.17. As required by 440.17(a)(1,2,3), membership is selected for special qualifications and sensitivity to the problems of low-income persons, including their weatherization and energy conservation needs. Membership is also broadly representative of organizations and agencies, including consumer groups that represent low-income persons in their area – particularly the elderly, disabled, and Native Americans. The committee has responsibility for advising the Division on the development and implementation of its Weatherization Assistance Program.

V.8.2 Administrative Expenditure Limits

Administrative expenditures are limited to 10% of the total DOE Grant allocation and is split 5% to State Administration and 5% to subgrantee administration.

V.8.3 Monitoring Activities

Monitoring is completed to assure that subgrantees are operating the program according to DOE rules and regulations and policies established by the Division, and to determine local training needs. The monitoring activities described in this plan apply to DOE funded activities.

The Division's Quality Assurance (QA) Section staff conducts monitoring of subgrantees. The in-house QA Section includes two administrative review monitors, five field monitors, one support staff and the section chief. All monitors received the following trainings and related certifications;

- Lead Safe Weatherization
- Lead Renovator
- Asbestos Operations and Maintenance

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- Weatherization Assistant training
- Quality Control Inspector

In accordance with WPN 15-4 Section 3, the Division's QA Section staff have obtained QCI certification as summarized in Section V.5.3. QA staff also complete further trainings and certifications depending on their monitoring focus. Supplemental trainings include topics such as Asbestos Supervisor, forced air heating systems, boilers, procurement, process improvement, air sealing, mobile home weatherization, ventilation, and OSHA construction safety trainings. The QA section includes individuals with extensive experience managing subgrantee weatherization programs, and with building science, construction engineering or architectural backgrounds.

In addition to QA Section staff, one or more technical inspection subcontractors will be used as needed to complete additional on-site reviews. In July 2014 the Division entered into two contract agreements for technical inspection services, each a two year term, with the Wisconsin Energy Conservation Corporation (WECC) and Energy House, Inc., WECC has four certified QCI on staff and Energy House has three certified QCI on staff performing technical inspections for the Division.

The subcontractors, under the direction of QA Section staff, evaluate units to determine if they were appropriately weatherized and if the quality of the workmanship meets the standards established by DOE and the Division. Although the subcontractors may conduct on-site evaluations of units weatherized, subgrantee oversight will continue to be primarily the responsibility of the Division and part of the QA Section's duties. The Weatherization QA Section staff will conduct follow-up inspections where required. Subgrantees are not allowed to use additional DOE funds on reported jobs that require reworks or warranty work.

Training and Technical Assistance (T&TA) funds pay for 5.9 QA Full Time Equivalent (FTE) positions. The Division uses Leveraging Funds to pay for 3.00 QA FTE positions. The remaining division QA FTE positions are paid with non-DOE funds from other sources.

The estimated travel costs for monitoring efforts for July 1, 2017 – June 30, 2018 is approximately \$30,296. Estimated travel costs for monitoring efforts will be funded by T&TA and Leveraging funds. The remaining portion of expenses will be paid out of non-DOE funds.

The Division is responsible for monitoring and oversight of work performed by subgrantees and will visit each subgrantee at least annually. More frequent QA reviews will be performed if quality issues are discovered during initial visits. A minimum five percent sample of each subgrantee's DOE funded units will be inspected. As noted in Section V.5.3, a minimum of 10 percent of each subgrantee's DOE funded units will be inspected if the final inspection and the initial audit are completed by the same subgrantee staff person.

Both administrative review staff and field monitors complete extensive file reviews on inspected units, and on an added sample of other units. If significant deficiencies are discovered concerning health and safety violations, poor quality of material installation, or major services missed, the Division will increase either the number of units monitored, or increase monitoring of subgrantee contract management practices as applicable until the deficiencies are remedied. Agencies that have significant deficiencies will be referred to receive Production Based Training or be required to attend training activities provided through the Standard Training Plan or other specialized technical assistance to improve performance (see Section V.8.4). Required grantee staff qualifications and training are tracked by our T&TA subcontractor and compliance is verified during Administrative Reviews by Division staff.

The Division has a dedicated Quality Assurance monitor that provides training and technical assistance related to program management. This monitor has extensive management experience in the Weatherization Assistance Program and assists subgrantees with issues such as management of program support costs, budgeting, supervision of field staff, and client complaints. The Division also has an established relationship with a CPA who has broad experience in management of not-for-profit agencies and programs, Both provide detailed assistance and guidance to agencies as they seek to continuously improve their programs, processes and outcomes

Comprehensive monitoring of subgrantees is conducted as a three-part set of activities fulfill the requirements of WPN 16-4. The combination of these monitoring activities in conjunction with periodic report assessments provides an in-depth look at all program components. Monitoring checklists and tools used by both Administrative Review (AR) and field monitoring staff are attached. The QA Section completes all three sets of activities for each subgrantee, which are:

1. Administrative reviews
2. Dwelling inspections
3. Client file reviews

Activity 1:

The administrative review covers the general operations of the subgrantee with a comprehensive examination of programmatic, financial, and management practices and outcomes. The administrative review combined with the agency's own fiscal audit give the Division an overview of the subgrantee's administrative capacity and capability. This includes a review of subgrantee financial management, accounting systems and operations, invoicing, purchasing and procurement procedures, inventory tracking, payroll and personnel, subcontractor management and quality assurance monitoring methods, vehicle and equipment lists, health and safety policies, record retention, quality assurance procedures and additional aspects of local program administration and organization. Checks are made that financial procedure manuals exist and are followed. Included in the monitoring of the fiscal operations is a review of cost allocation plans. Desktop monitoring of WisWAP system reports and reports submitted by the subgrantee in advance of the on-site administrative review contribute greatly to the information profile of the agency.

Each agency receives an on-site visit by Division administrative review staff to review a sample of materials to confirm that they meet or exceed specifications. On-site staff will also check the subgrantee's purchasing records to see that appropriate documents are maintained demonstrating that the materials purchased meet or exceed specifications. For subgrantees that maintain a warehouse, a spot check of Safety Data Sheet (SDS) availability will be completed.

Data on production and expenditures are reviewed monthly to ensure that the statewide average cost per unit does not exceed expenditure limits and is in compliance with Division requirements. This data is available as needed by the QA Section from the WisWAP reporting database.

Activity 2: Dwelling unit inspections review the quality and appropriateness of work, using criteria that align with the quality of specifications outlined in WPN 15-4 Section 1, an assessment of the original audit, the accuracy and completeness of the pre- and post-work inspections, and other on-site items. Dwelling

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unit inspections include both in-progress and completed units, with particular emphasis placed on in-progress units and heating system replacement and repair. The Division will make additional on-site visits of work in-progress with all subgrantees to assess compliance with safe work practices, adherence to lead safe weatherization protocols, comprehensiveness of final inspections, and other applicable criteria. Training and technical assistance is provided during in-progress visits as needed. If imminent health or safety concerns are identified at a job site, the subgrantee will be required to address such issues immediately. The Division will make as many visits as necessary and for which resources are available.

The Division will subcontract on-site inspections to a third-party as needed to supplement the monitoring described above. The subcontractor will submit a QA Inspection Worksheet, provide an extensive photo report of all weatherization work and any findings, and complete a Quality Satisfaction Questionnaire on each inspected home. Field monitors then complete extensive file reviews on every inspected unit, reconciling energy audit recommendations to the actual work completed and assessing the subgrantee's project management and internal QC process. Reports prepared by the subcontractor will be used to assist the Weatherization QA Section in meeting Quality Assurance goals. Both Division inspections and any subcontracted inspections are entered and compiled in the QA reporting database. Standard reports from this database guide monitoring inquiry and help the Division provide feedback to subgrantees.

QA inspection contractors that report inspections not completed, report findings clearly contradicted by their photo report or by the subgrantee's final inspection, fail to maintain required permits and insurance coverage, or deliver inspection reports that materially misrepresent the weatherization work completed may have current inspection contracts suspended. In especially egregious cases, as required by WPN 16-4, the Division will reserve the right to debar a contractor or any successor company from providing services to Wisconsin weatherization subgrantees. Wisconsin weatherization program standards provide clear guidance to subgrantees regarding contractor performance management, to conform with DOE requirements and State law. Included is specific information on actions or conditions that may trigger termination of a contract. The Division will require that subgrantees report every case where a contract is terminated for cause. As required by WPN 16-4, the Division may, upon review of the circumstances, debar that contractor from performing work for any subgrantee, for a specific period of time. The Division will comply with 2 CFR 200.338 and 2 CFR 180 when proceeding with debarment.

Activity 3: Client file reviews verify the completeness of documentation among other items. Files reviews will be completed, as noted, for every building inspected. The Administrative Review team selects and reviews an additional sample of client files, including clients to whom service was deferred or denied. Numerous criteria are evaluated for each file including customer eligibility, accuracy of the energy audit, completeness of work order inspection certification forms and compliance with health and safety requirements. Compliance with policies related to service of rental properties will be verified. File reviews include clients deferred or denied service.

The Division's monitoring goals for this program year for each subgrantee are:

1. All 20 subgrantees will have an administrative review conducted.
2. On-site inspection will occur on a minimum of 5% of the DOE funded units weatherized. Inspections are distributed throughout the program year.
3. Inspection of files will occur on a minimum of 5% of the DOE funded units weatherized.

In addition, each subgrantee is required to have a full financial and compliance audit conducted annually unless total federal funding is less than \$750,000. If less than \$750,000, an audit will still be completed but not paid for with DOE funds. The Division reviews the annual audit and takes any actions necessary to correct problems identified by the audit, resolve questioned costs, or recover funds if necessary.

Upon completion of a monitoring visit, the QA staff holds an exit conference with the subgrantee staff. Discussions are had concerning the findings of the visit. Exit conference topics include:

1. Programmatic strengths
2. Programmatic weaknesses
3. Training needs and recommendations
4. Deficiencies requiring immediate corrective action

A copy of the Division's QA report will be provided to the subgrantee within 30 days with any requirements specified. When minor issues are identified, they will be reported as "Concerns" and the subgrantee will be responsible for making sure the issue is addressed on future jobs. When other deficiencies are identified as not meeting program standards, subgrantees will be required to take corrective action within 30 to 45 days. When recurring deficiencies are identified, DES will determine what additional action is appropriate.

The Division's QA field monitors follow up on items addressed in Administrative Reviews on a regular basis throughout the year. If a subgrantee fails to resolve an issue, the Division reserves the right to take any of the following actions: modification, suspension, or termination of the contract.

It is Division policy to have follow-up telephone contact regarding any complaints about quality of workmanship. If additional investigation is required, an on-site visit will be completed to verify the quality of work being performed meets federal and state specifications. In the event the quality of the work was substandard, the subgrantee will be required to correct the deficiency.

In addition to the monitoring activities described above, the Division utilizes several tools to continuously assess each subgrantee's risk of noncompliance with state and federal regulations. These tools include but are not limited to:

- The Contract Planning Workbook, a Division designed budgeting tool that assists in assessing prior experience with weatherization awards, personnel levels and training needs, and in determining labor rates.
- Comparison of estimated audit costs with actual reported costs, an analysis completed annually by WECC.
- Annual training plans developed by subgrantees.
- Annual financial audits completed by each subgrantee per 2 CFR 200.501.
- The annual State of Wisconsin Single Audit. The Weatherization Assistance Program is identified as a major program that is audited at least once every three years. Any audit finding is identified in a memo from the Legislative Audit Bureau

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A DOE report on successes and significant problems will be completed regarding the level of subgrantee monitoring, major findings and resolutions, and training and technical assistance needs in all agency functions including programmatic, administrative, technical, and financial areas. Agencies that are considered by the Division to be high risk due to extensive production or quality issues, financial issues, or program management concerns may be required to create an action plan detailing improvement strategies. The Division will report on the status and success of agency improvement strategies and training. Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately.

The Division does not provide services directly to low-income families. As such, the provisions of WPN 16-4 related to "Direct Service Grantees" do not apply.

V.8.4 Training and Technical Assistance Approach and Activities

The Division characterizes training activities as a specific deliverable training session or a system of training sessions, while technical assistance activities are characterized as program development projects or maintenance. Both training and technical assistance deliverables are driven by the overall objectives of saving energy and reducing the state's carbon dioxide and other greenhouse gas emissions. To reach those objectives, the provider network must deliver quality installations, at the lowest possible cost, to the greatest possible number of dwellings. Every training or technical assistance activity delivered is considered in the light of those objectives.

Wisconsin anticipates allocating approximately 16% of the new DOE funding for Training and Technical Assistance (T&TA). These funds are retained by the State or allocated to subcontractors that provide the following services, by percentage:

49% - State staffed monitoring and oversight of subgrantees.

17% - Statewide T&TA services including the training program, technical assistance and development projects, and Quality Assurance inspections.

34% - Subgrantees' local T&TA budgets.

Of the statewide T&TA services (17%) and subgrantee's local T&TA budgets (34%), we anticipate approximately 74% of the DOE funds will be allocated for Tier 1 training and 26% for Tier 2 trainings.

In July 2017, the Division entered into a three-year contract agreement (with two optional two-year renewals) for Training and Technical Assistance services with the Wisconsin Energy Conservation Corporation (WECC).

As a part of the Training and Technical Assistance (T&TA) planning process, annual work plans are developed by WECC based on an annual subgrantee one-on-one training needs assessment, real-time surveys, and other DOE requirements, including but not limited to DOE Project Officer feedback. The work plans are reviewed internally by Division staff, the Weatherization Technical Development Work Group (TDWG), and various subcommittees of the Weatherization Operators of Wisconsin (WOW) organization. The work plan may be modified based on input from those groups.

Subgrantees are also required to develop an annual work plan. The local plans typically focus on training not available through the training contract, local training delivery systems, the costs of sending staff to trainings, and customer education.

Training Activities

Training is delivered through various mechanisms. Wisconsin's Tier 1 training program includes standard trainings encompassing occupation-specific training programs associated with the WAP Job Task Analyses. Wisconsin's Standard Training Plan provides a central training framework and addresses both short and long term training needs. The subgrantee T&TA plan, referenced above, provides funds to subgrantees for local training needs and initiatives.

Wisconsin's Tier 2 training program includes Production Based Training (PBT) and the biennial Technical Exchange Fair & Crew Competition Conference. The conference provides a venue for Wisconsin's weatherization professionals to showcase best practices and cost-effective solutions. PBT immediately targets subgrantees with deficiencies noted through Quality Assurance reviews and other performance factors, with the goal of providing training within a month of the referral.

The technical assistance work plan allows the Division to provide one-to-one guidance on financial management, PBT, and the Weatherization Assistant energy audits. In accordance with WPN 15-4 Section 4, WECC has integrated the respective Job Task Analysis requirements into Wisconsin's existing training curriculum.

Standard Training Plan

Administered and delivered by WECC, the Standard Training Plan provides specific trainings that are available each year. This training system provides courses at the basic, intermediate, and advanced levels for installers, energy auditors, final inspectors, data management and support staff, and fiscal and program management staff. This allows Wisconsin to offer Tier 1 Training for all WAP personnel (as required by WPN 15-4, Section 4), as needed, based on the one-on-one reviews with the Subgrantees. Trainings cover 1-4 unit and 5+ unit site-built housing as well as manufactured homes, and include classroom and field components. Under the existing Standard Training Plan and funding level, the training system has the capacity to provide up to 1,400 training slots per year, with more than 60 training sessions. While a specific list of core trainings are delivered each year, the annual work plan will vary based on training needs assessments and funding levels.

As referenced above, subgrantees are required to develop an annual training and technical assistance plan for their allocation. As a part of the annual planning process, the Division provides subgrantees with a list of potential trainings for the upcoming year. They are asked to identify any training needs in addition to the

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Standard Training Plan, within their T&TA plan. Commonly identified training needs are added to the annual plan. Uncommon subgrantee training needs must be supported by the subgrantee's local plan. Each subgrantee is required to designate a Local Training Officer (LTO) and secondary LTO as a part of their T&TA plan. The LTO facilitates or provides local training, coordinates training for subgrantee employees and subcontractors, and works directly with WECC. Orientation and support are provided by WECC for the LTOs in assessing training needs, facility identification, and training skills development. Those LTOs that become successful trainers are added to the list of statewide trainers. The major responsibilities of the LTO are to:

1. Assist WECC to ensure that training is provided at the appropriate track and level for subgrantee staff.
2. Provide feedback and recommendations on trainings and related issues.
3. Contact WECC for PBT in response to Quality Assurance reviews.
4. Assist WECC in making arrangements for on-site facilities for Standardized Training Plan sessions held locally.
5. Work with WECC to provide training for other subgrantees, as needed and negotiated with the subgrantee.

Customized Training and Support: Production Based Training (PBT)

The PBT system, Wisconsin's Tier 2 Training program, was developed to provide immediate training for subgrantee staff and subcontractors with deficiencies noted through Quality Assurance monitoring or other performance factors. Typically, the process starts with Quality Assurance staff identifying specific needs and assessing the severity of the problem. An on-site trainer provided by WECC will then respond, usually within a month of the referral. Training is available in twenty-eight different topic areas, including administration, financial procedures, and weatherization technical requirements. Examples of PBT include advanced air sealing, and reconciliation of direct labor rates. These visits are sometimes combined with technical assistance funds to provide on-site support in a technical area. Visits for PBT are designed to provide training and support for specific crews or contractors whose work was cited by our Quality Assurance team. The support is hands-on technical training, delivered without a classroom, during the weatherization process. The trainer works directly with the installers to improve their skills while completing a job.

Additional training and technical assistance is available for subgrantees whenever our evaluations identify lower performance levels. Additional studies have been performed on high performing subgrantees to determine what helps them succeed so that information can be shared with others in the State.

Required Subgrantee Training Attendance

Subgrantee attendance is typically required at trainings or meetings where Division policy changes are reviewed. Specific trainings and applicable certifications are required for lead renovator, asbestos disciplines that allow for the safe weatherization of buildings, and proper work procedures when mold and moisture problems are noted.

Attendance for all training is tracked in a database maintained by WECC. The database is also used to track renewals for various certifications.

Energy Auditor Certification

Since 2003, Wisconsin has been providing annual five-day Basic Energy Auditor trainings with a certification test at the end of the training. The Basic Energy Auditor certification became mandatory for all energy auditors on July 1, 2009. Certification requires successfully completing the Basic Energy Auditor training and also the Beginning Weatherization Assistant for Auditors course. This includes training in both the National Energy Audit Tool (NEAT) and the Mobile Home Energy Audit (MHEA). Since 2007, 190 Energy Auditors have been trained and certified to work in Wisconsin's program. New energy auditors who are not yet certified must have their work reviewed by a certified energy auditor prior to issuing any work orders. Intermediate Energy Auditor training is also offered and IREC accreditation is in progress.

Per the Home Energy Plus Weatherization Program Manual, all persons auditing homes with the Wisconsin Weatherization Assistance Program shall obtain a Wisconsin Weatherization Basic Energy Auditor Certification within 12 months of beginning to audit homes for the program.

Staff working toward a Basic Energy Auditor Certification will be considered an Energy Auditor Trainee and shall have their audits reviewed and signed-off on by a certified Energy Auditor. Completion of the Basic Energy Auditor Certification requirement advances the energy auditor beyond the trainee status.

Three requirements shall be completed to become a certified Basic Energy Auditor:

1. Meet the DOE Weatherization Assistance Program Core Competencies pre-requisite for Basic Energy Audit Competencies, which are:

- Ability to read and write legibly;
- Basic verbal and written communication skills;
- Basic construction knowledge;
- Basic math skills; and
- Basic computer skills.

2. Complete and pass the Basic Energy Auditor Course.

3. Complete and pass a Basic Weatherization Assistant course.

Further details can be found in a document called [Core Competencies for the Weatherization Assistance Program](#) on the Home Energy Plus Website and in the NREL Energy Auditor Job Task Analysis.

Technical Assistance Activities

Broadly, technical assistance funds are used to enhance and maintain the quality of the services available to Wisconsin's Weatherization Assistance Program customers. Projects vary widely and examples include research on specific weatherization measures or an on-site consultation for a subgrantee on financial management issues. Generally, a project must

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in some way work to further the objectives or requirements of the program. Listed below are the in-progress or planned technical assistance projects for this funding period.

Major Home Energy Plus Technical Assistance Projects for PY2015:

- **Weatherization Customer Guidebook** – Maintenance of the Weatherization Customer Guidebook will continue. This web-based product allows subgrantees to create a customized guide to the weatherization measures completed for each single-family home weatherized. The Guidebook includes maintenance requirements for each measure, as well as general energy management tips. The Guidebook went live on October 1, 2008 and is required for single-family and manufactured homes.
- **Financial Management** – Technical support for WAP subgrantees on financial management issues such as cost allocation, inventory management, direct labor rate monitoring and reconciliation, and follow-up on any issues identified in a subgrantee’s fiscal audit. This is a continuation of the support model developed in 2007.
- **Document Design Services** – Document design and support for the Home Energy Plus Programs brochure, and Weatherization Field Guide. Wisconsin completed a major revision of the Weatherization Field Guide in PY 2013 and in PY 2014 to incorporate the relevant SWS requirements as required by WPN 15-4, Section 1.
- **Weatherization Measures Support** – Analysis and maintenance of measures and field protocols. Currently in progress is an annual review of measure savings-to-investment ratios, combustion safety protocols, and new water heater technologies.
- **Self-Evaluation Savings System (SES)** – Wisconsin has built a Self-Evaluation Savings (SES) system that reviews all pre-and post-weatherization energy consumption for natural gas units served by our regulated utilities. Data collection started with FY2007 and provides annual updates of the therm and kWh savings of weatherized homes.
- **Energy Audit Maintenance** – Energy audit maintenance, coordination, and enhancement including managing the set-up libraries, program upgrades, and customizing the audit, as feasible, for Wisconsin use. Wisconsin will continue to work with Oak Ridge National Laboratory (ORNL) to test the new MulTEA tool for small multifamily buildings. Wisconsin will also continue working with ORNL to integrate a web-based version of Weatherization Assistant when it is available.
- **Home Energy Plus Information Call Center** – Provides for the operation and management of a call center. This is a toll free number, and serves as an entry port for the general public to the Home Energy Plus programs.
- **Home Energy Professional Quality Control Inspector Planning** – As noted in Section V.5.3, Wisconsin is implementing a Grantee-Developed QCI policy to comply with WPN 15-4 Section 3.

V.9 Energy Crisis and Disaster Plan

Energy Crisis Plan

n/a

Wisconsin Disaster Response Plan

In accordance with DOE’s Weatherization Program Notice 12-07, the declaration of a disaster by the President or Governor is sufficient cause for the State of Wisconsin WAP to implement a series of amended procedures in those affected areas to allow the WAP subgrantee agencies to address the needs of the WAP eligible or previously weatherized low-income families affected by disaster conditions. Wisconsin recognizes that WAP has a very limited role in any disaster response plan. The use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials

Allowable Re-Weatherization Activities

For communities or counties in Wisconsin that the President or Governor has declared a disaster area, local WAP agencies will be permitted to use DOE resources (truck, equipment, staff labor, and materials) and funds to re-weatherize affected homes after FEMA funds and insurance payments have been applied to the repair of the structure. The re-weatherization work will be performed in accordance with field procedure guides already established by the Wisconsin WAP and will include the following allowable costs:

- Limited clean-up in those areas of the home where WAP services will be provided. These costs will likely be charged as incidental repairs.
- The performance of an energy audit to determine the services to be provided. The audit will take into consideration all existing WAP materials previously installed and still intact and useful.
- Mechanical systems (central heating, hot water, etc.) and appliances will be inspected, and repaired or replaced as needed based on damage and wear and according to our usual standards
- The auditor may consider deferring the job if the damage to the home appears to impact the structure and the materials to be installed cannot be safeguarded.
- The file must contain documentation of the damage through reports and digital or printed pictures of the affected area.

Each unit will be reported with specific tracking codes in WisWAP. This notation will be part of the data entry so it can be easily identified and sorted for future reference. The costs for these re-weatherized units will be reported to DOE in the same manner as other re-weatherization cases.

Work In Progress Cases

In some cases, the local WAP agency may have work in-progress at homes where severe damage has occurred. These units and the associated costs have not been reported to DOE yet there may be significant loss of resources due to the damages. These homes will be identified in the WisWAP system so that proper reporting of costs can be easily tracked.