

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

2. Type of Application:

- New
- Continuation
- Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

02/26/2015

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:

DE-EE0006145

State Use Only:

6. Date Received by State:

06/24/2015

7. State Application Identifier:

DCG-2786-2015

8. APPLICANT INFORMATION:

a. Legal Name: District of Columbia

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

536001131

c. Organizational DUNS:

780986563

d. Address:

Street 1: 1200 First Street NE

Street 2: 5th Floor

City: Washington

County:

State: DC

Province:

Country: U.S.A.

Zip / Postal Code: 20002

e. Organizational Unit:

Department Name:

District Department of the Environment

Division Name:

Energy Efficiency and Conservation Division

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

Prefix: Mr First Name: Isaac

Middle Name:

Last Name: Cotton

Suffix:

Title: Associate Director

Organizational Affiliation: District Department of the Environment

Telephone Number: 2024782423

Fax Number: 2025352881

Email: isaac.cotton@dc.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-0002015

Title:

2015 Weatherization Assistance Funding Opportunity

**13. Competition Identification Number:**

Title:

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

District of Columbia

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

The District has participated in the U.S. Department of Energy's (DOE) Weatherization Assistance Program for over 30 years. The District Department of the Environment enables low-income families to permanently reduce their energy bills by making their homes more energy efficient .

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**16. Congressional District Of:**

a. Applicant: District of Columbia At-Large Congressional District      b. Program/Project: DC-Statewide

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

**17. Proposed Project:**

a. Start Date: 10/01/2015      b. End Date: 09/30/2016

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

a. Federal	538,874.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	538,874.00

**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: 06/24/2015
- 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: Tommy

Middle Name:

Last Name: Wells

Suffix:

Title: Director

Telephone Number: 2025352615      Fax Number: 2025352881

Email: Tommy.Wells@dc.gov

Signature of Authorized Representative: Signed Electronically      Date Signed: 06/11/2015

**U.S. DEPARTMENT OF ENERGY**



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: District of Columbia  
Award number: EE0006145

Budget period: 10/01/2015 - 09/30/2016

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

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

<u>Position</u>	<u>Description of Duties of Professionals</u>
Branch Chief	Oversees the energy efficiency programs managed by the Energy Efficiency and Conservation Branch
Auditor and Inspector	Conducts Energy Audits and Quality Control Inspections for DC weatherization program.
Auditor and Inspector	Conducts Energy Audits and Quality Control Inspections for DC weatherization program.
Associate Director	Oversight of the Energy Efficiency and Conservation, Energy Affordability Branches, and other residential and commercial energy efficiency programs.
Budget Analyst	Assist in the financial monitoring of WAP

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Branch Chief	\$96,755.11	14.0000 % FT	\$13,545.72
Auditor and Inspector	\$75,049.92	46.0000 % FT	\$34,522.96
Auditor and Inspector	\$67,374.36	46.1008 % FT	\$31,060.12
Associate Director	\$111,997.05	14.0000 % FT	\$15,679.59
Budget Analyst	\$101,476.63	10.0000 % FT	\$10,147.66
		Direct Pay Total	\$104,956.05

**2. FRINGE BENEFITS**

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

## Comp Source Group

## Comp Object

Percentage allocation -% for 24.00 % - FY 16 Est.

0014 (FRINGE BENEFITS - CURR PERSONNEL)

0141 (GROUP LIFE INSURANCE)

0.06%

0142 (HEALTH BENEFITS)

10.61%

0147 (MISC FRINGE BENEFITS)

0.00%

0148 (RETIREMENT CONTRIBUTION - FICA)

5.77%

0152 (RETIREMENT CONTRIBUTION - CIVIL SERVICE)

0.61%

0154 (OPTICAL PLAN)

0.08%

0155 (DENTAL PLAN)

0.31%

0157 (PREPAID LEGAL)

0.11%

0158 (MEDICARE CONTRIBUTION)

1.39%

0159 (RETIREMENT)

4.44%

0160 (DC METRO BENEFITS)

0.12%

0161 (DC HEALTH BENEFIT FEES)

0.50%

Grand Total

24.00%

## Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
Branch Chief	\$13,545.72	24.0000 %	\$3,250.97
Auditor and Inspector	\$34,522.96	24.0000 %	\$8,285.51
Auditor and Inspector	\$31,060.12	24.0000 %	\$7,454.43
Associate Director	\$15,679.59	24.0000 %	\$3,763.10

Budget Analyst	\$10,147.66	24.0000 %	\$2,435.44
		Fringe Benefits Total	\$25,189.45

**3. TRAVEL**

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

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
The National Energy and Utility Affordability Conference (NEUAC)	2	\$1,200.00	\$2,400.00
Affordable Comfort Conference	2	\$1,400.00	\$2,800.00
NASCAP Annual Conference	4	\$1,200.00	\$4,800.00
		Travel Total	\$10,000.00

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

The basis for computation of travel expenses (e.g. current airline quotes, past trips, federal or organization travel policy, etc.). Travel is consistent with the District of Columbia travel policy. The National Energy and Utility Affordability Conference (NEUAC) - 2 persons - 4 days- air transportation, lodging, subsistence \*\*  
 Affordable Comfort Conference - 2 persons - 4 days - air transportation, lodging, subsistence \*\*  
 NASCAP Annual Conference - 4 persons - 4 days - air transportation, lodging, subsistence \*\*\*  
 \*\*A portion of the travel will be covered under the United States Health and Human Services (US HHS) program.  
 Travel related to monitoring: The subgrantee(s) are local, so budgeted funds are not needed for monitoring purposes. All subgrantees are required to maintain an office in the District which will allow DDOE to utilize District Government Fleet vehicles at no cost to the US DOE grant.

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

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

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
N/A	\$0.00	0	\$0.00	
			\$0.00	

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

N/A

**5. SUPPLIES** - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

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

<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
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- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

NA

**6. CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e. weatherization subgrants, Annual File section II.3).

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
TBD	\$398,728.50	Installation of audit recommended energy efficiency measures in income eligible applicants residences
Contracts and Subgrants Total	\$398,728.50	

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

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

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

<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
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- b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

**8. INDIRECT COSTS**

- a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.
- b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

There are no indirect cost and no basis for computation rates.

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

Name: Olga Provotorova

Phone Number: 2026712302

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006145		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address District of Columbia 1200 First Street NE Washington, DC 20002		4. Program/Project Start Date 10/01/2015	5. Completion Date 09/30/2016

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.042	\$ 538,874.00		\$ 0.00		\$ 538,874.00
2.						
3.						
4.						
5. TOTAL		\$ 538,874.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 538,874.00

**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	\$ 21,728.77	\$ 0.00	\$ 33,704.03	\$ 0.00	\$ 104,956.02
b. Benefits	\$ 5,214.90	\$ 0.00	\$ 8,088.97	\$ 0.00	\$ 25,189.45
c. Travel	\$ 0.00	\$ 0.00	\$ 10,000.00	\$ 0.00	\$ 10,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 0.00	\$ 47,413.30	\$ 0.00	\$ 77,689.00	\$ 398,728.50
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 26,943.67	\$ 47,413.30	\$ 51,793.00	\$ 77,689.00	\$ 538,873.97
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 26,943.67	\$ 47,413.30	\$ 51,793.00	\$ 77,689.00	\$ 538,873.97
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006145		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address District of Columbia 1200 First Street NE Washington, DC 20002		4. Program/Project Start Date 10/01/2015	5. Completion Date 09/30/2016

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 538,874.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 538,874.00

**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	\$ 49,523.22	\$ 104,956.02
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 11,885.58	\$ 25,189.45
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 253,626.20	\$ 10,000.00	\$ 10,000.00	\$ 0.00	\$ 398,728.50
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 253,626.20	\$ 10,000.00	\$ 10,000.00	\$ 61,408.80	\$ 538,873.97
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 253,626.20	\$ 10,000.00	\$ 10,000.00	\$ 61,408.80	\$ 538,873.97
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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

(Grant Number: EE0006145, State: DC, Program Year: 2015)

**IV.1 Subgrantees**

Subgrantee (City)	Planned Funds/Units
TBD (Washington)	\$0.00 0
<b>Total:</b>	<b>\$0.00</b> <b>0</b>

**IV.2 WAP Production Schedule**

Weatherization Plans	Units
Total Units (excluding reweatherized)	55
Reweatherized Units	0

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		
<i>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	55
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	55
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<i>AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
F	Total Funds for Program Operations	\$253,626.20
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	55
H	Average Program Operations Costs per Unit (F divided by G)	\$4,611.39
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$4,611.39

**IV.3 Energy Savings**

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

Method used to calculate savings description:

The total number of units to completed with the operations funds from DOE WAP funds multiplied by 30.5MBTU.

This year estimated energy savings (MBtus):

Prior year estimated energy savings (MBtus):  Actual:

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

According to DOE program regulations, Grantees are permitted to spend up to 15 percent of their annual WAP grant to undertake leveraging activities. DDOE intends to leverage the allotted 15 percent of its WAP grant to seek additional funds from non-federal sources, such as the District of Columbia Sustainable Energy Utility (DC SEU) and local District General Funds to supplement WAP. This will increase the number of low-income homes to be weatherized.

DC SEU and District General Funds will be used to pay personnel expenses for DDOE staff, supplies and other expenses associated with the leveraging activities to be performed during the program year. Leveraging activities involve collaboration and coordination with the DC SEU and locally funded Energy Efficiency and Conservation Programs.

**Brief Description of the Program and Funding Sources**

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

**(Grant Number: EE0006145, State: DC, Program Year: 2015)**

The DC SEU is a private entity, subject to statute, that was contracted by DDOE to design and implement energy efficiency and renewable energy programs in the District. Funding for the DC SEU is provided by the Sustainable Energy Trust Fund (SETF) on an annual basis. The DC SEU contract with the District is subject to the approval of the DC Council. The work done with the leveraged resources from the DC SEU is consistent with WAP objectives. The DC SEU is charged with providing detailed programmatic quarterly reports that must be submitted to the DC Council 45 days after the end of each quarter. DC SEU staff will inform DDOE of possible leveraging opportunities, especially in their auditing and energy efficiency products related programs. DDOE staff will report leveraging activities on the WAP Annual Training, Technical Assistance, Monitoring and Leveraging Report.

The DC SEU's Low-Income Multifamily Direct Install Program provides low-cost energy retrofits in income-qualified multifamily rental properties throughout the District. Typical measures installed include: energy efficient lighting upgrades, water heater tank wraps, faucet aerators, and low-flow showerheads and partial rebates for refrigerator and window air-conditioner replacements.

The following is a brief description of a leveraged program that DDOE is currently conducting a pilot program that will provide a leveraging opportunity if funding is received to implement in Fiscal Year 16:

**Solar Advantage Plus Program** - provides rebates to help low-income District of Columbia residents install solar panels on their homes. The Solar Advantage Plus Program covers the full cost to install solar panels on single-family homes owned or rented by low-income District residents.

Program eligibility is based on federal low income guidelines.

**Fiscal Year 2015 Leveraging Activities**

**District of Columbia General funds are used to fund the Heating System Replacement, Repair and Tune-up Program (G2)** - provides energy audits and natural gas-fired heating system tune-ups, repairs, and replacements in low-income dwellings. This program also replaces inefficient gas hot water heaters and provides programmable thermostats. Participants receive an assessment of their heating system as part of the general weatherization audit or have a Red Tag or an estimate from an HVAC technician deeming their unit inoperable.

DDOE developed a partnership with YACHAD (<http://www.yachad-dc.org/>) and Habitat for Humanity to assist with preserving the affordable housing stock throughout the District.

**Services Provided During Fiscal Year 2015:**

- 66 Single Family Homes under the Heating System Repair or Replacement Program
- 78 Single Family Homes received Heating or Hot Water Tank Replacement through the DC SEU
- 9 Single Family Homes weatherized through the YACHAD and Habitat for Humanity partnership

**IV.5 Policy Advisory Council Members**

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

Dawn Smeriglio	Type of organization: Local agency Contact Name: Phone: 3012371178 Email: <a href="mailto:dsmerigl@dchousing.org">dsmerigl@dchousing.org</a>
Michael Thomas	Type of organization: Unit of State Government Contact Name: Michael Thomas Phone: 2023447585 Email: <a href="mailto:mft1485@gmail.com">mft1485@gmail.com</a>
Orlando Velez	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 9413234727 Email: <a href="mailto:orlandovelezgarcia@gmail.com">orlandovelezgarcia@gmail.com</a>
Racquel Jefferson	Type of organization: Other Contact Name: Phone: 2022702276 Email: <a href="mailto:racquelsj@gmail.com">racquelsj@gmail.com</a>
Stephen Oliver	Type of organization: Local agency Contact Name: Phone: 2024875667 Email: <a href="mailto:stephenmichaeloliver@yahoo.com">stephenmichaeloliver@yahoo.com</a>

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

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

**(Grant Number: EE0006145, State: DC, Program Year: 2015)**

<b>Date Held</b>	<b>Newspapers that publicized the hearings and the dates the notice ran</b>
07/29/2015	DDOE posted in the DC Register on July 3, 2015 that the Public Hearing will be held on July 29, 2015.

**IV.7 Miscellaneous**

<p><b><u>Recipient Business Officer</u></b> Tommy Wells, Director 1200 First Street NE, 5th Floor Washington, DC 20002 (202) 535-2615 Office (202) 535-2881 Fax Tommy.Wells@dc.gov</p> <p><b><u>Principal Investigator</u></b> Isaac Cotton 1200 First Street NE, 5th Floor Washington, DC 20002 (202) 478-2423 Office (202) 535-2881 Fax Isaac.Cotton@dc.gov</p>
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**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**STATE PLAN/MASTER FILE WORKSHEET**

**(Grant Number: EE0006145, State: DC, Program Year: 2015)**

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

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

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

The District Department of the Environment (DDOE) has determined that it will weatherize dwelling units whose occupants are at or below 200% of the Federal Poverty Level or 60% of the District median income level, whichever is higher, as determined under the Weatherization Assistance Program (WAP) eligibility guidelines. Applicants who do not meet the income guidelines may receive weatherization assistance if they receive Supplemental Security Income or Aid to Families with Dependent Children.

Applicants must provide proof of income for all household members, which includes: recent payroll stub or other proof that shows current gross income for the last 30 days and is valid within the last 90 days; documentation showing income from Social Security, Unemployment Insurance, pension funds, disability, etc.; proof of present address (e.g., rent receipt, lease or deed, property tax bill); Proof of total members living in the household (e.g., birth certificates, school records); Social Security cards (or documents with Social Security number, such as a pay stub or birth certificate) for all persons living in the household; proof of US citizenship or permanent residence; and valid photo identification. These requirements are utilized for single and multi-family dwellings.

DDOE operates on a first-come-first-served basis because historically we have not had a waiting list. In the event a waiting list develops DDOE will undertake an "Energy Assessment" that gives preference to any one of the following (per 10 CFR § 440.1):

- Applicants over 60 years of age
- Families with one or more members with a disability
- Families with children under age 18
- High residential energy users
- Households with high energy burden

Additional documentation may be requested before the Energy Assessment to confirm preference.

Once the client information is forwarded to the subgrantee, the subgrantee may also give priority to clients who fall into the following categories:

- **Emergency:** A client is considered to be in an emergency situation when a genuine emergency exists which poses an imminent threat to the life, health, or property of the client, and when that emergency situation can be corrected by WAP services, and when other options to correct or alleviate the threat are unavailable or impractical.
- **State or Federal declaration of a disaster:** In an instance that warrants the designation of an area as a disaster area, clients identified in that area may be offered general or specific services on a priority basis.

Describe what household Eligibility basis will be used in the Program

DDOE has determined that it will weatherize dwelling units whose occupants are at or below 200% of the Federal Poverty Level or 60% of the District median income level, whichever is higher, as determined under the WAP eligibility guidelines. Applicants who do not meet the income guidelines may receive weatherization assistance if they receive Supplemental Security Income or Aid to Families with Dependent Children.

Once the applicant is approved for weatherization based on income and/or household demographics, home ownership is verified through the District's Office of the Chief Financial Officer (OCFO) Real Property Tax Database. If the applicant resides in a rental property, the owner is contacted to verify the signature on the application. In addition, the applicant's address is researched to ensure that they have not received Weatherization Assistance since 1994 and to determine if the property is classified as historical through the District's Office of Planning Property Quest Database.

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

The process of determining eligibility for weatherization services begins with clients submitting the necessary documentation to confirm household income and sources, and household composition. DDOE is in compliance with Federal requirements and ensures that services are provided only to U.S. citizens or qualified aliens.

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

(Grant Number: EE0006145, State: DC, Program Year: 2015)

“Qualified aliens” are defined in Section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), commonly known as the welfare reform law. The PRWORA covers the larger groups of legal immigrants (legal permanent residents, refugees, asylees, individuals paroled into the U.S. for a period of at least 1 year, individuals whose deportation has been withheld, individuals granted conditional entry, and certain individuals who are victims of domestic abuse). Qualified aliens are eligible to receive assistance and services, so long as they are able to provide the following documents: Picture ID, Social Security card, proof of household income and utility bills.

DDOE’s services are in full compliance with Federal provisions related to verification of qualified alien status. DDOE’s procedures for verifying applicants’ U.S. citizenship or immigration status are in accordance with the United States Department of Justice’s (US DOJ) Interim Guidance on Verification of Citizenship, Qualified Alien Status and Eligibility under Title IV of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, published November 17, 1997 (62 FR 61344).

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

Procedures to determine that units weatherized have eligibility documentation

DDOE process is consistent with United States Department of Energy (US DOE) Regulations, which allow grantees to use LIHEAP eligibility criteria as the basis of eligibility under WAP, provided that the LIHEAP basis is at least 200% of the federal poverty level or 60% of the District’s median income level. Because WAP and LIHEAP are housed in the same office at DDOE, DDOE is able to closely monitor the low-income households that have been certified as eligible by LIHEAP staff.

Verification of the household income and WAP eligibility are recorded as part of the client file.

Describe Reweathering compliance

The American Recovery and Reinvestment Act (PL 111-5) amended the US DOE weatherization requirements to allow for the reweatherization of homes that were originally weatherized prior to September 30, 1994. This provision allows DDOE the flexibility to revisit homes weatherized prior to 1994 that may not have received the full complement of weatherization services, including the use of an advanced energy audit. It also allows DDOE to determine if the households have weatherization-related health and safety concerns.

Reweathering is also allowed under 10 CFR 44.18(e)(2)(ii) if a “dwelling unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance.”

Describe what structures are eligible for weatherization

DDOE exercises caution in dealing with non-traditional type dwelling units such as shelters and apartments located over businesses to ensure that they meet program eligibility requirements. In a case in which DDOE determines that such a unit is eligible for weatherization, a request for approval will be sent to the US DOE Project Officer prior to commencing weatherization activities.

In a case in which DDOE is aware of redevelopment, the dwelling(s) will not be weatherized.

Describe how Rental Units/Multifamily Buildings will be addressed

DDOE follows 10 CFR 440.22 when addressing rental units and multifamily buildings. Multifamily structures must contain, at a minimum, 66% low-income dwelling units. DDOE may provide an exemption to a large multifamily building if an initial energy assessment determines that the building offers significant energy savings and there is not a significant DDOE investment to be made. In these cases, as few as 50% of the total units need to be certified as eligible in order to proceed with weatherization services. Exemptions to the 66% rule will be considered on a case-by-case basis and sent to the DOE Project officer for prior approval.

Multifamily buildings must also have an agreement in place that prevents management from raising rents based solely on the WAP improvements. Owners may be required to contribute up to 25% of the WAP allocation for weatherization services. Owners are also required to buy down any recommended measures to be installed from the audit that do not have a savings to investment ratio of at least 1. The 25% contribution can be funds allocated for additional weatherization

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services or proof of significant weatherization investment within the past three years.

Unoccupied multifamily buildings may only be weatherized if they will become eligible dwelling units within 180 days of weatherization improvements to the building. These owners should enter into an agreement with the District of Columbia thirty (30) days prior to the date the improvements are to be installed. Owners have 180 days from the date of execution of this agreement to obtain the low-income tenancy rate required. If the low-income tenancy has not been obtained by the 180-day deadline, owners must reimburse the District for the weatherization measures installed.

In cases where single-family dwelling units are occupied by renters, the renter must meet the eligibility requirements prior to weatherization work commencing. The owner of the dwelling unit must enter into an agreement that prevents raising rents based solely on WAP improvements. Owners may be required to contribute up to 25% of the WAP allocation for weatherization services.

**Describe the deferral Process**

Per Weatherization Program Notice 11-6, units may be deferred on a case by case basis. Reasons for deferral are identified at the time of the energy audit and listed on a signed deferral form that includes photographic documentation.

All deferrals must complete the "Weatherization Assistance Program Applicant Notification of Deferral" (attached to SF-424) which includes: an explanation of the nature of the hazard; the client's name and address; program contact information for the Department of Housing and Community Development (DHCD); contact information for an appeal of the deferral decision; date of the audit/assessment; and the date when the client was informed of the potential health and safety issues. The client's signature is also required to indicate that the client understands his or her rights and options.

A copy of the deferral decision is given to the client and a copy is placed in DDOE's client file. The client's contact information is forwarded to the DHCD Single Family Rehabilitation Program.

Once the client has addressed the hazardous or health and safety conditions, they are eligible to re-apply for the Weatherization Assistance Program and a second site visit is conducted to verify that the deferral conditions have been resolved.

In cases where DDOE is aware of redevelopment, the dwelling (s) will not be weatherized.

**V.1.3 Definition of Children**

Definition of children (below age): 18

**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.

Native American tribes do not exist in the District of Columbia.

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

The entire District of Columbia will be served. Eligible properties and residents will receive assistance regardless of location within the District of Columbia.

DDOE competitively selects local 501(c)(3) non-profits as subgrantees. General selection criteria include:

1. Each subgrantee is a Community Action Agency (CAA) or other public or nonprofit entity
2. Each subgrantee is selected on the basis of public comment received during a public hearing conducted pursuant to § 440.14(a) and other appropriate findings regarding:
  - a. The subgrantee's experience and performance in weatherization or housing renovation activities
  - b. The subgrantee's experience in assisting low-income persons in the area to be served
  - c. The subgrantee's capacity to undertake a timely and effective weatherization program

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3. In selecting a subgrantee, preference is given to any CAA or other public or nonprofit entity which has administered, or is currently administering, an effective program under the weatherization regulations or under title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:
  - a. The extent to which the past or current program achieved or is achieving weatherization goals in a timely fashion
  - b. The quality of work performed by the subgrantee
  - c. The number, qualifications, and experience of the staff members of the subgrantee
  - d. The ability of the subgrantee to secure volunteers, training participants, public service employment workers, and other Federal or State training programs
4. DDOE shall ensure that the funds received under this part will be allocated to the entities selected in accordance with the 10 CFR 440 and 600 and that funds will be allocated on the basis of the need for a weatherization project by low-income persons
5. Any new or additional subgrantee shall be selected at a hearing in accordance with §440.14(a) and upon the basis of the criteria in paragraph (a) of this section

The District of Columbia may terminate or reduce the grant award to a subgrantee if it is determined that the subgrantee is not likely to implement the weatherization program fully, which includes the completion of all assigned dwelling units prior to the end of the grant period. Subgrantee awards that have not reported complete work within three months of dwelling unit assignments may be terminated and their financial assistance will be allocated to other subgrantees. A subgrantee that fails to implement and abide by the subgrantee award or seeks to circumvent established procedures may be terminated. All subgrantees receiving a notice of impending agreement termination will receive written notice during which time they will have an opportunity to appeal the decision against termination. This appeal is to be made to the DDOE Director or the Director's designee.

Applicants for the Weatherization Assistance Program are vetted by DDOE to ensure that inappropriate reweatherization does not happen. When the customer is contacted to schedule an energy audit: (a) they are asked if they have ever received services from DDOE or any other government entity; and (b) their address is matched in the DDOE weatherization database.

### V.3 Priorities for Service Delivery

DDOE operates on a first-come-first served basis. In the event that a waiting list arises, DDOE gives preference to any one of the following:

- Applicants over 60 years of age
- Households with one or more members with a disability
- Household with children under age 18
- High residential energy households
- Households with high energy burden

Additional documentation may be requested before the Energy Assessment to confirm preference.

The average amount of WAP assistance per unit can be up to \$6,904 as of October 1, 2014.

### V.4 Climatic Conditions

On average, the District of Columbia's weather ranges from approximately 28 degrees Fahrenheit in the winter months to 90 degrees Fahrenheit in late summer months. Temperature extremes range from below 10 degrees Fahrenheit to 100 degrees Fahrenheit. During the coldest months (December - March), the average temperature differential to overcome is 28 degrees Fahrenheit in order to maintain a minimal interior comfort level of 65 degrees Fahrenheit. The 30-year normal for the District is 5586 degree days, made up of 4055 heating degree days and 1531 cooling degree days.

[http://www.huduser.org/resources/utilitymodel/source/select\\_Geography.odb](http://www.huduser.org/resources/utilitymodel/source/select_Geography.odb)

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

**V.5.1 Technical Guides and Materials**

A US DOE-approved audit will be conducted on each eligible dwelling by a qualified energy auditor. DDOE's Weatherization Request for Applications (RFA) and Subgrantee Award Notices state that the Subgrantee may be requested to perform an energy audit at a cost not to exceed \$450 per unit, if needed.

Some of the primary measures to be considered are:

1. Air Sealing Infiltration Reduction – infiltration reduction addresses air and heat movement between heated and unheated areas by applying such measures as caulking, foam sealant, insulation, weather-stripping to primary doors and windows, sealing of baseboards, correction of leaks in HVAC duct systems, and other materials as necessary to seal the envelope penetrations of the dwelling.
2. Heating System Efficiency Improvements - HVAC systems are to be tuned up, as needed, to improve efficiency and indoor air quality. Should a dangerous health or safety condition exist as determined by a DDOE inspector with HVAC expertise, replacement rather than repair may be deemed necessary. In other cases, if age and condition of the system warrant, replacement rather than repair will be considered via a cost/benefit analysis.
3. Attic Insulation and Venting - attics will be insulated to R-49 if existing insulation is below R-15; if existing insulation is above R-16, replacement will be based upon the recommendation of the auditor. Attics that are insulated must have a dam installed and be vented according to the District's Weatherization Field Guide.
4. Insulation of Domestic Hot Water Heater - domestic hot water heaters will be insulated and the hot water pipes extending from the hot water heater will be wrapped for a distance of at least six feet from the hot water heater, or, if exposed, the entire hot water line.
5. Basement/Floor/Crawl Space Insulation - unheated basements will be insulated to R-19. A vapor barrier will be installed where needed. Adequate ventilation will be provided for insulated basements and crawl spaces.
6. Pipe and Duct Wrap - hot water pipes and hot air heating ducts located in unconditioned areas will be insulated.
7. Storm Windows – the installation of storm windows on primary windows between heated and unheated areas will be considered.
8. Refrigerators - the National Energy Audit Tool (NEAT) includes a refrigerator replacement measure. NEAT has the ability to evaluate the potential savings obtained from replacing and existing refrigerator with a newer, more efficient unit. We will use the NEAT as our auditing tool and EPA guidelines for Energy Star Appliances to recommend refrigerator replacement. When refrigerators are replaced, subgrantees must provide a decommissioning certificate as evidence of proper disposal of the existing refrigerator. Replacement of through-the-door ice maker refrigerators or stand-alone freezers are considered.
9. Air Conditioners – air conditioners rated at 13 SEER or higher will be installed. New air conditioners use 30% - 50% less energy to produce the same amount of cooling as do air conditioners made in the 1970s. Even if the air conditioner is only 10 years old, a customer could save 20% - 40% of cooling energy cost with a newer, more efficient model. This measure may also be considered under Health & Safety measures.
10. Water Heater Replacement - the NEAT will evaluate the cost-effectiveness of replacing an existing water heater with a higher efficiency model. This measure may also be considered under Health & Safety measures.
11. Lighting – new lighting systems will be considered. The use of new lighting technology can reduce the lighting energy use in homes by 50% - 75%.

The work covered by WAP will be performed as needed in homes which are otherwise in sound repair. In some cases, extreme conditions exist (such as roof deterioration or plumbing-related failures in heating distribution systems) which must be corrected before the US DOE-funded measures can be justified.

In accordance with 10 CFR 440.18(c)(ii) and 440.20, low-cost/no-cost weatherization materials may be distributed to eligible clients. These measures are intended to be installed by clients and serve them until such time that regular WAP weatherization measures can be installed by subgrantees.

All subgrantees receive a copy of the DDOE Field Guide titled "Weatherization Field Guide for the District of Columbia" (2011) during the annual Energy Kickoff Meeting or prior to the issue of the first work order. They must follow the Guide's weatherization standards when installing energy efficiency measures. DDOE is in the process of updating the current Guide. This includes incorporating the Standard Work Specifications (SWS) of the US DOE's Weatherization Program Notice (WPN) 15-4, Section 2.

Subgrantees are required to incorporate into their subcontracts with vendors and contractors language that clearly documents that the work was done in compliance with the SWS. The signed contracts must be submitted to DDOE during or prior to DDOE management's yearly monitoring visit to each of the subgrantee's offices to ensure DDOE's continued compliance with the US DOE's Program Year 2015 requirements.

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

**Single-Family** : NEAT audit will be submitted to US DOE for approval before October 1, 2015

**Manufactured** Does Not Apply (DNA)

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**Housing :**

**Multi-Family :** TREAT audit will be submitted to US DOE for approval before October 1, 2015

**Comments**

A US DOE approved audit will be conducted on each eligible dwelling by a qualified energy auditor. DDOE's Weatherization Request for Applications (RFA) and Subgrantee Award Notices state that the Subgrantee may be requested to perform an energy audit at a cost not to exceed \$450 per unit, if needed.

The audit process includes a pre- and post-blower door reading and ensures that every participating home is given the best possible recommendations for energy conservation. DDOE ensures that each energy audit meets US DOE guidelines, and is performed in each participating home by a qualified energy auditor. The purpose of the audit is to determine the most cost effective energy-saving measures for each dwelling unit. Targeted Retrofit Energy Analysis Tool (TREAT) audits are completed for all multi-family buildings with five or more units. Audit-recommended measures are prioritized according to Savings to Investment Ratio (SIR) rankings.

DDOE will submit a request for audit approval to US DOE for the use of the National Energy Audit Tool (NEAT) and TREAT prior to October 1, 2015.

**V.5.3 Final Inspection**

US DOE requires that every dwelling unit receive a final inspection before it can be reported as a completed unit. US DOE also requires (per Weatherization Program Notice 15-4) that by the beginning of the US DOE 2015 Program Year, all units reported to US DOE as completed will have been inspected to ensure compliance with the specifications outlined in the Standard Work Specifications (SWS), and all quality control inspections, including final inspections and monitoring inspections, must be conducted and signed off by a certified Quality Control Inspector.

No dwelling unit may be reported to DDOE or US DOE as completed until all weatherization materials have been installed and the subgrantee or its authorized representative has performed final inspection(s), including any certified mechanical work performed and completed in a high quality and professional manner in accordance with priority determined by approved WAP audit procedures.

Subgrantees will conduct final inspections on 100% of all dwelling units weatherized before reporting them as completed units. A signature by a subgrantee staff member is required to certify that work for reported units was completed in accordance with the requirements of the 10 CFR 440 standards.

DDOE and subgrantee quality checks are prerequisites to payment of the subgrantee. Overall, DDOE will inspect at least 10% of all completed units per year to ensure that reported completions are in compliance with these standards. For each job, however, the subgrantee must undertake a review that includes a signed Client Satisfaction Survey and a "passed" final inspection, using the subgrantee's Final Inspection Form. The Final Inspection Form addresses each installed measure. The customer and the inspector signatures are required. Only a passing inspection may be submitted along with other documentation for a "completed" job that qualifies for reimbursement.

To ensure overall customer satisfaction, work quality, and adherence to US DOE standards of 10 CFR 440.16, independent Building Performance Institute (BPI)-certified Quality Control Inspectors inspect and monitor quality control during and after subgrantee work is completed. Subgrantees must provide DDOE with a work schedule to ensure that the following quality control objectives are met and job tasks accomplished:

**Domain I: Conducting Quality Checks - In-Process Visual/Sensory Inspections**

Task 1: Verify worker compliance with safety rules

Task 2: Assure worker professionalism

Task 3: Address work problems

Task 4: Evaluate client satisfaction regarding the in-process work

**Domain II: Conducting Quality Checks - Post-Work Visual/Sensory Inspection**

Task 1: Review client file and the work scope

Task 2: Perform an exterior and interior visual/sensory inspection

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Task 3: Evaluate client satisfaction

Task 4: Determine pass/fail of the work

**Domain III: Conducting Quality Checks - Post-Work Diagnostic Inspections**

Task 1: Conduct health and safety tests

Task 2: Conduct diagnostic tests

Task 3: Identify work problems

**Domain IV: Ensuring Worker Professionalism**

Task 1: Perform spot checks

Task 2: Provide feedback regarding professionalism

**Domain V: Ensuring Program or Project Compliance**

Task 1: Maintain professional credentials

Task 2: Confirm the allocation of public/private funds

Task 3: Evaluate installed measures against the field guide, SWS and state/local codes

Task 4: Close out the project

Task 5: Maintain files and records

**V.6 Weatherization Analysis of Effectiveness**

Since the inception of the Weatherization Assistance Program, DDOE has utilized subgrantees to weatherize over 10,000 housing dwelling units in the District of Columbia. Subgrantees have played an integral part in the success of the weatherization program through their many years of experience in residential energy efficiency improvement.

In order to keep an updated evaluation of each subgrantee, DDOE is developing a detailed management system that requires subgrantees to provide monthly production and financial status reports. The Program Manager oversees their activities and arranges for training and technical assistance when necessary. Analysis of records includes the following:

1. Number of homes completed
2. Number of applications pending
3. Number of homes in progress
4. Contract amount
5. Total funds expended
6. Balance of funds
7. Special comments

DDOE is developing a monitoring tracking system that tracks the monitoring visits completed and scheduled. DDOE currently maintains the monitoring files, which include all the subcontracts and related information from which staff can obtain a current and complete financial picture.

Each subgrantee will be monitored and evaluated on site at least once during the grant year, and DDOE anticipates inspecting at least 10% of the houses weatherized in the District during the year. Subgrantee performance is reviewed both periodically and at the end of the program year.

DDOE will cooperate with US DOE as the federal agency implements a national evaluation project.

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DDOE, through the Energy Efficiency and Conservation Branch, places a strong emphasis on ensuring that the Weatherization Assistance Program is effective and efficient at all levels. DDOE conducts training and monitoring activities on an ongoing basis to evaluate subgrantees' procedures, timeliness, quality of work, and overall program management. Through this process, DDOE is able to effectively assess the training needs of subgrantees' staff and subcontractors. DDOE requires that subcontractors and subgrantee staff attend WAP Training Conferences such as the Affordable Comfort Inc. conference, NASCSP's annual conference, and NASCSP's mid-atlantic regional conference.

## V.7 Health and Safety

US DOE has mandated that states develop, publish, and implement procedures to allow WAP funds to be used for health and safety risk mitigation. Energy-related health and safety concerns are those hazards that are necessary to be removed before, or because of, the installation of weatherization measures. Therefore, health and safety hazards associated with weatherization activities are allowed to be removed or prevented with US DOE funds. Measures and costs are defined in the grant award documents in order to avoid seriously impeding realization of the primary energy conservation purpose of the program. DDOE will continue to be prudent in our oversight of the funds used by subgrantees for health and safety mitigation on homes weatherized.

Historically, DDOE has not used the allotted 15% percent in health and safety funds. Instead, DDOE used other funds, LIHEAP and District general funds, to address eligible health and safety program measures. DDOE hopes to use these other funds to purchase the diagnostic equipment necessary to detect health and safety concerns in weatherization applicants' dwellings.

The amount that DDOE has allocated to address health and safety concerns represents 10% of the total cost of the approved weatherization measures being installed in each dwelling.

DDOE will carefully monitor subgrantee expenditures to ensure that the amount allocated to address Health and Safety is 10% of the total cost of the approved weatherization measures. Health and Safety Measures that exceed the allowable 10% will be billed to a leveraged funding source. DDOE will ensure subgrantees are made aware of guidance on this expenditure, found in 10 CFR 440.16.

In addition, the subgrantees must adhere to the standards in DDOE's Health and Safety Plan. This is an additional check to ensure that expenditures are allocated appropriately.

### A. Grantee Health and Safety (DDOE Staff)

Funds provided under 10 CFR 440.18(c)(h) of the WAP regulations are to eliminate health and safety hazards, elimination of which is necessary before, or because of, installation of weatherization material. These funds are to be expended by subgrantees for direct weatherization activities. Subgrantee health and safety-related costs will be charged to either the administrative, training and technical assistance, or health and safety cost category.

### B. Contractor and Crew Health and Safety (Subgrantees and Contractors)

Subgrantees must comply with Occupational Safety and Health Administration (OSHA) requirements in all weatherization activities. Subcontractors, contractors and in-house crews employed by subgrantees are expected to comply with OSHA. This requirement is a part of the subcontractor's bidding process. Related costs for subgrantees to comply with OSHA requirements are to be charged under a separate health and safety budget category.

### C. Client Health and Safety

DDOE has considered the need to mitigate potential energy-related health and safety hazards occurring in client's homes. A list of the more common hazards and the preferred approach is discussed below. Other energy related hazards may be considered on a case-by-case basis. The single most threatening and potentially serious hazards are related to combustion appliances. To address these hazards, DDOE requires energy auditors to test the combustion appliances in a home pre- and post-air-tightening. This procedure consists of testing carbon monoxide levels in the flue/vent and near the exhaust of unvented appliances, draft ability of flues, start-up spillage at flues, adequacy of combustion air, and testing for fuel leaks.

### D. Remediation Materials

Remediation materials are defined as materials, measures and/or equipment necessary to reduce or eliminate existing or potential health and safety hazards. These include:

1. Replacement furnace
2. Combustion device vent connector when original is rusted out or unable to safely vent the products of combustion from a combustion device
3. Materials necessary to repair a downspout leaking into a basement and causing a moisture, mold and wood rotting problem
4. Materials necessary to repair the section of a gutter causing a moisture, mold and wood rotting problem
5. Replacement space heaters
6. Materials necessary to address electrical hazards when the problem prevents adequate weatherization

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**E. Remediation Costs**

The maximum allowable expenditure for remediation of health and safety hazards in the District of Columbia may not exceed 10% of the allowable weatherization costs per residence. This cost is a part of maximum expenditure allowance. For example, in Program Year 2013 the average per residence weatherization expenditure level was \$6,904, of which up to 10%, or \$690, could be used to reduce and/or eliminate approved health and safety hazards using allowable remediation materials. US DOE funds are to be used for energy-related health and safety remediation only. Subgrantees should seek other funding to remediate non energy-related health and safety hazards.

**F. Reporting Requirements**

Related costs for subgrantees to comply with OSHA requirements are to be charged under a separate health and safety budget category. This policy is issued with the knowledge that as experience is gained in health and safety hazard identification, modifications and improvements to remediation methods will be made.

**G. Incidental Repair**

Those repairs necessary for the effective performance or preservation of weatherization materials will be addressed. Such repairs include framing or repairing windows and doors that could not otherwise be caulked or weather stripped, and providing protective materials, such as paint, to seal materials installed under this program. Program policies strictly prohibit roof replacements, structural repairs, or other non-energy related rehabilitation work. Units requiring this type of repair will be deferred to the District's Department of Housing and Community Development (DHCD) Rehabilitation Program. All incidental repairs will be justified in the client file along with an explanation for their need and relationship to a specific energy conservation measure (ECM).

**H. Subgrantee Health & Safety Allocation**

Historically, DDOE has not had to use the allotted 15% percent in health and safety funds due to the leveraging programs (LIHEAP and District general funds) for which health and safety measures can be covered under program operations. All homes are addressed in a holistic approach and in cases of an SIR greater than 1, the heating or cooling appliances are covered under WAP Program Operations. When the SIR test is not met, we have covered these measures under District general fund programs.

**I. ASHRAE 62.2**

DDOE will utilize the ASHRAE 62.2 2013 standard and we are in the process of updating the Field Guide to incorporate the following changes:

1. Whole house is now called whole building;
2. "Intermittent" applies only to the whole building ventilation in 2013 version;
3. Local fans are now called "demand control";
4. Height is now clearly defined as the vertical distance between the lowest to the highest above grade points within the pressure boundary;
5. Intermittent ventilation is now defined "intermittently operated whole building ventilation that is automatically controlled";
6. Demand controlled mechanical exhaust is defined as "a local mechanical exhaust system shall be designed to operate as needed by the occupant";
7. The default infiltration credit has been eliminated as the 2013 standard allows the full infiltration credit to be subtracted from the whole building infiltration requirement; and
8. Under the 2013 standard, the fan flow is equal to 0.03 times the floor area plus 7.5 times the number of bedrooms.

DDOE will use the following Calculators:

1. The ASHRAE calculation sheet will be generated internally (see attachment in SF-424)

**Multifamily Buildings**

1. Whole building ventilation rates are applied on per unit basis;
2. No infiltration credit on multifamily buildings;
3. Corridor ventilation of 6 cfm per 100 sq. ft.;
4. All envelope components must be sealed between units;
5. Bathroom or kitchen exhaust fans may also serve as the whole-building ventilation fan as long as the fan satisfies the minimum requirements for both the local and whole-building ventilation;
6. Supply Fans: A single fan may serve multiple units if it is continuously operated or if a backdraft damper is included at each unit to prevent cross contamination;
7. Common garage ventilation: An exhaust rate of 4 CFM per 100 sq. ft. is required for attached common garages with an exemption if two or more walls are open to the outside;
8. All units, regardless of fuel, types have CO alarm(s) installed:
  - a. Outside of each separated dwelling unit's sleeping area in the immediate vicinity of the bedroom(s); and
  - b. On every level of a dwelling unit, including basement.

DDOE has implemented a detailed Health and Safety Plan to include allowed incidental repairs. Please refer to Attachment in the SF-424.

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**V.8 Program Management**

**V.8.1 Overview and Organization**

In Program Year 1994, the District of Columbia's Weatherization Assistance Program (WAP) for low-income households was transferred from the Department of Housing and Community Development (DHCD) to the DC Energy Office. In 2006 under the authority of DC Law 16-51, the District Department of the Environment (DDOE) was formed through a merger of the DC Government's Environmental Health Administration, the DC Energy Office, policy functions of the Tree Management Administration and policy functions of the Office of Recycling. The weatherization component operates under DDOE's Energy Administration Energy Efficiency and Conservation Branch (EECB). This agency has accumulated a wealth of experience in operating LIHEAP and WAP weatherization programs. DDOE has utilized proven and effective methods in performing energy audits and has enlisted several subgrantees to implement weatherization activities. Moving forward, DDOE intends to utilize additional auditing tools to enhance program capabilities, including the NEAT and TREAT tools.

**V.8.2 Administrative Expenditure Limits**

DDOE adheres to 10 CFR 440 §440.18 (e) which states:

"Not more than 10 percent of any grant made to a State may be used by the grantee and subgrantees for administrative purposes in carrying out duties under this part, except that not more than 5 percent may be used by the State for such purposes, and not less than 5 percent must be made available to subgrantees by States. A State may provide in its annual plan for recipients of grants of less than \$350,000 to use up to an additional 5 percent of such grants for administration if the State has determined that such recipient requires such additional amount to implement effectively the administrative requirements established by US DOE pursuant to this part."

DDOE has determined that the District's subgrantees conforming to this paragraph may require additional administrative funds to effectively implement US DOE requirements. For a grant for which the subgrantee receives less than \$350,000, DDOE will consider providing an additional 5% for administrative costs.

**V.8.3 Monitoring Activities**

DDOE's monitoring activities are designed to maintain accountability for the Weatherization Program resources and to identify processes to improve the program's operation and services. DDOE's monitoring goals of subgrantees are to determine program compliance and accountability, insure excellent work, and to determine the quality and effectiveness of the work on completed dwellings. DDOE will address with each subgrantee the problems, deficiencies, and areas needing improvement that are identified through the monitoring process. DDOE will provide the assistance needed to improve program operations and regulatory compliance.

Goals of Monitoring: Analyze whether the best possible program services are being delivered to the low-income population; assess strengths and weaknesses of all aspects of the local program; determine program compliance and accountability; be a tool for program improvement; identify problems, deficiencies, and areas that need improvement within subgrantee operations; assist subgrantees in their program operations and compliance with US DOE and District of Columbia regulations; advise subgrantees on how to correct weaknesses and deficiencies; and assess the need for training and technical assistance to improve subgrantee's service delivery, cost-effectiveness, and accountability.

DDOE will perform yearly monitoring review of the fiscal, programmatic, and field functions of subgrantees through a DDOE-approved Monitoring Tool. Any and all findings, from periodic monitoring, will be reported to the appropriate project officer on a monthly basis, unless the findings are so egregious, that they must be reported immediately

**Desktop Reviews**

The DDOE Program Manager will review subgrantee records and client files annually. For action items, the Program Manager will require subgrantee responses and, if necessary, correction. For severe issues, the Program Manager will continue a review that concentrates on prior deficiencies and required corrective actions.

The Program Manager will review Monthly Reports and track production and expenditures on a monthly basis through the weatherization tracking system.

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Additionally, the Program Manager will review monthly reports for accuracy and compliance.

#### Agency Monitoring Visits

**Fiscal Monitoring** will typically occur once per year per subgrantee. The fiscal monitoring will be conducted by the Program Manager or Branch Chief. During the visit, this monitor will review all of the fiscal operations of a subgrantee's weatherization program. The fiscal monitoring will include review and verification to help eliminate fraud, waste, and abuse.

**Program Management Monitoring** of each subgrantee will typically occur formally once per year and informally on a monthly basis. Program management monitoring will be conducted by the designated Program Manager and will be program specific. Program management monitoring will include review and verification of subgrantee client information to include expenditures, crew/contractor safety policies and procedures, and compliance with DDOE standards. This is advertised in the Request for Applications for the subgrant and in the Grant Award Notice.

**Field Monitoring** will occur throughout the year for each subgrantee. Field monitoring will be conducted by DDOE's Building Performance Institute (BPI) - certified Quality Control Inspectors. Individual job inspections will be performed and recorded using the Post Inspection Form. Jobs will be inspected for overall effectiveness, workmanship, appearance, and compliance with installation Weatherization Field Guide. An overall assessment of subgrantee field practices will be performed using the Standard Work Specification Guideline (SWS). The SWS tool will be used to identify major strengths, major field findings, and trends for concerns which will assist DDOE to eliminate fraud, waste, and abuse.

#### Subgrantee Inspection Responsibilities

Subgrantees are required to have a Building Performance Institute (BPI)-certified Quality Control Inspector inspect 100% of all completed units to determine compliance with DDOE quality standards and to ensure proper documentation of client information, job measures and costs. DDOE advises its subgrantees that inspections must be performed by a person who did not perform the actual work on the job, must be thorough and effective, and are important to evaluating subgrantee performance.

#### Findings

Findings may result in the requirement of additional training for the subgrantee staff, contractors, subcontractors, and vendors.

**Major finding:** Noncompliance issues of significant concern, such as health and safety, potential liability, misuse of funds, or consistently failing to follow program rules, standards, or specifications (e.g., such as whole house weatherization). DDOE will report any such findings to US DOE on a monthly basis. If the findings are egregious, they will be reported to US DOE immediately.

**Minor finding:** Noncompliance issues of secondary concern, such as small file omissions (e.g., no date on form), procedural items that can be quickly or easily corrected, or work quality issues that can be easily corrected and do not significantly impact the overall quality of work performed (e.g., failure to insulate the first five feet of hot water pipe from the water heater).

**At-Risk Performance:** Subgrantees can be designated as At-Risk status for serious management and/or consistent substandard field performance, including: Program goals are not being met; program resources cannot be accounted for, there are indications of misuse of funds, fraud, or theft; subgrantee is not in compliance with program policies and procedures; subgrantee files and records are severely incomplete and disorganized; there have been repeated major field negative findings, with no or minimal improvement from a previous monitoring visit, or the subgrantee is unresponsive to DDOE requests and deadlines.

When designating a subgrantee under an At-Risk status, DDOE will specify improvements that must be made by the subgrantee. Subgrantees will be instructed to submit a plan to identify the steps and timelines to be taken to make the noted improvements. When appropriate, related training and technical assistance will be provided. DDOE will consider suspension or termination of the subgrantee award unless the specified improvements in management and/or field practices are instituted by the subgrantee in a specified period of time. DDOE will report any At Risk subgrantee to US DOE immediately.

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

Training and Technical Assistance (T&TA) activities are intended to maintain and increase the efficiency, quality, and effectiveness of the Weatherization Program at all levels. DDOE developed an internal Subgrantee Training Plan based on US DOE recommendations, monitoring visits, and field inspections. The Training Plan ensures that all Tier 1 training paid for with WAP T &TA funds for the Subgrantee and DDOE meets the requirements of the Weatherization Program Notice 15-4, Section 4.

DDOE links subgrantees to training resources throughout the year on a variety of energy related topics. When topics involve a change in existing policies and

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procedures (e.g., new database, changes to audit protocols), or emphasize an important program area, subgrantee attendance may be mandatory. When training is mandatory, all parties are expected to assign the most appropriate person to attend. If a subgrantee has any doubt regarding attendance, DDOE requires that it be consulted immediately.

The following training sessions are mandatory for the positions stated below. If a subgrantee hires a new employee into one of these positions, or a current employee transfers into one of these positions, it is mandatory that the person receive this training within six months of their start date (unless they have received it already). These mandatory training sessions must be repeated every three years by subgrantee personnel who occupy these positions:

1. Single and Multi-Family Energy Auditor Course is mandatory for energy auditors, post inspectors, and crew personnel
2. Single Family Crew Leader Course is mandatory for weatherization directors and crew chiefs
3. Single Family Retrofit Installer Technician Course is mandatory for contractors, subcontractors, subgrantee vendors, and crew personnel
4. Single and Multi-Family Quality Control Inspector Course is mandatory for energy auditors, post inspectors, and contractors
5. Multifamily Retrofit Project Manager Course is mandatory for subgrantee weatherization directors
6. Lead Safe Weatherization Practices Certification is mandatory for all employees who may come in contact with lead based paint while performing their duties

Health and Safety courses, as outlined in the Training Plan (attached to SF-424), will be conducted by DDOE personnel or subcontractors. The Training Plan requires certification to be submitted 120 Days after the Grant Award Notice. The certifications are tracked through our internal database system.

DDOE and subgrantee personnel in professional positions must be certified by the Building Performance Institute (BPI). DDOE required all applicants for the FY15 program to have the above training completed before applying for funding. DDOE requires this in its Request for Applications (RFA) and in the Training Plan attached to the SF-424.

T&TA funds may be used to train DDOE staff and subgrantee contractors. In making the determination to pay for contractor training, subgrantees must formally agree with their contractors that, in exchange for training the contractors will work in the DDOE WAP Program for a specific amount of time and should align with the cost of the T&TA provided. DDOE requires subgrantee(s) to submit training request(s) to the DDOE Program Manager for approval prior to expending US DOE T&TA Funds (see the Training Request Form attached to SF-424).

DDOE offers training courses. When a subgrantee's staff is unable to attend they must still meet the requirement for certification within 120 days of the Grant Award Notice.

DDOE determines the subgrantees' effectiveness and energy savings through the Key Performance Indicator (KPI) matrix that shows energy savings achieved quarterly based on the energy audit reports and measures installed.

DDOE provides client education throughout the weatherization application process. First, clients apply for WAP services at one of two DDOE Energy Centers. DDOE staff show applicants how to install energy saving measures, such as caulking, weather-stripping for doors and windows, door-sweeps, checking and changing furnace filters. DDOE staff review ideas on how to effortlessly incorporate energy-saving practices into client lifestyles. Second, each eligible client receives a kit that contains weatherization items, and instructions for them, such as caulk and caulk gun, plastic storm windows, compact fluorescent bulbs and weather-stripping for doors and windows. Finally, when the auditor comes to the residence to conduct the energy audit the client receives an informational packet and a copy of EPA's "The Lead-Safe Certified Guide to Renovate Right". The auditor walks the client through the home, and advises them of ways to improve energy efficiency and possible health and safety concerns.

As a quality control measure, DDOE asks clients to sign an acknowledgement of the auditor visit (per attachment to the SF 424) and receipt of the lead information.

#### **V.9 Energy Crisis and Disaster Plan**

The District's Energy Assurance Plan provides information on how the District and DDOE will respond in case of an energy emergency. The Energy Assurance Plan promotes the resilience of the District's energy systems in order to reduce the system's vulnerabilities. The Plan also outlines DDOE's role in promoting policies and programs that enhance the District's energy systems.

The Plan addresses:

1. The types of energy emergencies that can occur in the District
2. Who responds to an energy emergency
3. Plan of action when an energy emergency occurs

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4. Development related to critical infrastructure and promoting policies and program that enhance the resiliency of District energy systems

The Energy Assurance Plan is attached to the SF-424. If there are any changes or updates they will be sent to US DOE's Project Officer for review.