

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

04/07/2022

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

DE-EE0009902

State Use Only:

6. Date Received by State:

04/07/2022

7. State Application Identifier:

8. APPLICANT INFORMATION:

a. Legal Name: State of Iowa

b. Employer/Taxpayer Identification Number (EIN/TIN):
92-2490034c. UEI:
PVYGD5Y8RN98

d. Address:

Street 1: Lucas State Office Building

Street 2: 321 East 12th Street

City: Des Moines

County: POLK County

State: IA

Province:

Country: U.S.A.

Zip / Postal Code: 503190000

e. Organizational Unit:

Department Name:

Department of Health and Human Services

Division Name:

Division of Community Access

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

Prefix: First Name: Christine

Middle Name:

Last Name: Taylor

Suffix:

Title:

Organizational Affiliation: Christine Taylor

Telephone Number: 5152814565

Fax Number:

Email: christine.taylor@iowa.gov

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002024

Title:

2024 Weatherization Assistance Program (WAP)

13. Competition Identification Number:

Title:

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

State of Iowa

15. Descriptive Title of Applicant's Project:

Iowa Weatherization Assistance for Low Income Households

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: Iowa Congressional District 03

b. Program/Project: IA-Statewide

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

17. Proposed Project:

a. Start Date: 04/01/2024

b. End Date: 03/31/2025

18. Estimated Funding (\$):

a. Federal	8,338,397.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	8,338,397.00

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
- 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**

 I AGREE

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

Authorized Representative:

Prefix: First Name: Erin

Middle Name:

Last Name: Drinnin

Suffix:

Title: Director, Division of Community Access

Telephone Number: 5157321177

Fax Number:

Email: edrinni@dhs.state.ia.us

Signature of Authorized Representative:

Date Signed:

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000		4. Program/Project Start Date 04/01/2024	5. Completion Date 03/31/2025

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	\$ 1,410,190.00		\$ 6,710,946.00		\$ 8,121,136.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 1,410,190.00	\$ 0.00	\$ 6,710,946.00	\$ 0.00	\$ 8,121,136.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON	(2) SUBGRANTEE ADMINISTRATI ON	(3) GRANTEE T&TA	(4) PROGRAM OPERATIONS	
a. Personnel	\$ 137,215.00	\$ 0.00	\$ 375,772.00	\$ 0.00	\$ 512,987.00
b. Fringe Benefits	\$ 47,023.00	\$ 0.00	\$ 145,452.00	\$ 0.00	\$ 192,475.00
c. Travel	\$ 4,000.00	\$ 0.00	\$ 51,685.00	\$ 0.00	\$ 55,685.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 245,836.00	\$ 0.00	\$ 245,836.00
e. Supplies	\$ 4,500.00	\$ 0.00	\$ 6,390.00	\$ 0.00	\$ 10,890.00
f. Contract	\$ 0.00	\$ 748,397.00	\$ 0.00	\$ 3,428,576.00	\$ 6,819,055.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 70,600.00	\$ 0.00	\$ 39,500.00	\$ 0.00	\$ 110,100.00
i. Total Direct Charges	\$ 263,338.00	\$ 748,397.00	\$ 864,635.00	\$ 3,428,576.00	\$ 7,947,028.00
j. Indirect Costs	\$ 45,470.00	\$ 0.00	\$ 128,638.00	\$ 0.00	\$ 174,108.00
k. Totals	\$ 308,808.00	\$ 748,397.00	\$ 993,273.00	\$ 3,428,576.00	\$ 8,121,136.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009902		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Iowa Lucas State Office Building Des Moines, IA 503190000		4. Program/Project Start Date 04/01/2024	5. Completion Date 03/31/2025

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		\$ 1,410,190.00	\$ 0.00	\$ 6,710,946.00	\$ 0.00	\$ 8,121,136.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) HEALTH AND SAFETY	(2) SUBGRANTEE T&TA	(3) Weatherization Readiness	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 512,987.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00		\$ 192,475.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 55,685.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 245,836.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00		\$ 10,890.00
f. Contract	\$ 1,230,822.00	\$ 314,918.00	\$ 1,096,342.00		\$ 6,819,055.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 110,100.00
i. Total Direct Charges	\$ 1,230,822.00	\$ 314,918.00	\$ 1,096,342.00		\$ 7,947,028.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00		\$ 174,108.00
k. Totals	\$ 1,230,822.00	\$ 314,918.00	\$ 1,096,342.00		\$ 8,121,136.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Iowa
Award number: EE0009902

Budget period: 04/01/2024 - 03/31/2025

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>
Unit Director	Overall responsibility for the Iowa Weatherization Assistance Program (WAP), as well as the Low-Income Energy Assistance Program (LIHEAP), the Community Service Block Grant (CSBG) program, and the Family Development and Self-Sufficiency (FaDSS) program. The balance of the Director's salary and benefits is paid by these other, non-weatherization programs.
Program Manager	Overall responsibility for administration of the Iowa Weatherization Assistance Program. Team leader for the WAP staff. Develops, updates and implements administrative policies and procedures. Monitors and provides technical assistance to subgrantees.
Administrative Assistant	General administrative duties. Assists in coordinating training sessions and meetings. Maintains inventory. The balance of the Administrative Assistant's salary and benefits is paid by other, non-weatherization programs, LIHEAP, CSBG and FaDSS.
Technical Specialist/Trainer/QCI	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to subgrantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Technical Specialist/Trainer/QCI	Provides training. Conducts inspections of weatherized dwellings. Establishes work standards. Provides technical assistance to subgrantees. Investigates client complaints. Assists with technical issues. Assist with special projects.
Program Specialist	Monitors subgrantees for administrative and program compliance issues. Assists in developing, updating and implementing administrative policies and procedures. Works with State Historical Preservation personnel to meet all SHPO reporting requirements. QCI qualified program specialists will provide additional support to Technical Specialists when needed and available.
Budget Analyst	Handles utility company contracts. Provides monthly financial and data reports to utility companies. Processes subgrantee monthly financial claims. Reviews closeout reports. Manages the computerized reporting system including providing statistical analysis of WAP database. Provides technical assistance to subgrantees on the reporting system. Provides fiscal monitoring of subgrantees in support of fiscal staff as needed.

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Unit Director	\$120,038.67	33.0000 % FT	\$39,612.76
Program Manager	\$104,184.91	100.0000 % FT	\$104,184.91
Administrative Assistant	\$58,980.27	33.0000 % FT	\$19,463.49
Technical Specialist/Trainer/QCI	\$90,366.43	100.0000 % FT	\$90,366.43
Technical Specialist/Trainer/QCI	\$90,366.43	100.0000 % FT	\$90,366.43

Program Specialist	\$90,366.43	100.0000 % FT	\$90,366.43
Budget Analyst	\$78,626.08	100.0000 % FT	\$78,626.08
		Direct Pay Total	\$512,986.53

2. FRINGE BENEFITS

a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.

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

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

- FICA 7.65%
- Health Insurance \$9,362 single plan/year, \$21,256 family plan/year
- Dental Insurance \$426 single plan/year, \$547 family plan/year
- Life Insurance \$40/year
- Disability Insurance \$186/year
- Retirement \$9.44% employer share
- Deferred Compensation \$900/year max match
- Personnel Processing Fee \$20.67/month
- Flex Spending Fee \$12.87/month
- Professional Development Training (state sponsored) \$850/year

Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Unit Director	\$39,612.76	38.3390 %	\$15,187.14
Program Manager	\$104,184.91	27.0910 %	\$28,224.73
Administrative Assistant	\$19,463.49	54.8080 %	\$10,667.55
Technical Specialist/Trainer/QCI	\$90,366.43	41.1580 %	\$37,193.02
Technical Specialist/Trainer/QCI	\$90,366.43	43.6350 %	\$39,431.39
Program Specialist	\$90,366.43	41.8800 %	\$37,845.46
Budget Analyst	\$78,626.08	30.4300 %	\$23,925.92
		Fringe Benefits Total	\$192,475.21

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>
ICAA (Iowa Community Action Association) Annual Training Conference	1	\$3,625.00	\$3,625.00
IWAC Meetings - this is the network of sub-grantee coordinators. Grantee staff attends each meeting to discuss on-going issues.	6	\$200.00	\$1,200.00
On-site technical assistance provided to sub-grantees by grantee staff.	16	\$275.00	\$4,400.00
Technical Monitoring - includes review of work in process as well as completed jobs.	21	\$310.00	\$6,510.00

Administrative Monitoring	16	\$275.00	\$4,400.00
Fiscal monitoring	16	\$275.00	\$4,400.00
In-person staff meetings at state office	26	\$275.00	\$7,150.00
NASCSP Meeting	2	\$4,000.00	\$8,000.00
WIPFLI Conference for Fiscal and Administrative monitors	1	\$4,000.00	\$4,000.00
Conference (Code Compliance, ASHRAE, RESNET, Energy Out West and HPC Regional Conferences) for grantee staff to stay current with new WAP techniques.	3	\$4,000.00	\$12,000.00
			Travel Total
			\$55,685.00

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

Required monitoring activities are budgeted based on past trips.

Other meetings including NASCSP, ASHRAE, Energy Out West, Code Compliance, Home Performance (HPC), WIPFLI, IWAC and DOE meetings are necessary for grantee and subgrantees to stay current on policies and procedures.

The training travel is necessary for state staff to provide Specific Training to sub-grantee staff in ensure they are providing high level quality services to clients. The training is provided in a classroom/on-site format and available to all sub-grantee staff.

On-site technical assistance is provided to sub-grantees on an as-needed basis. This would include trouble shooting problem houses.

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

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

Equipment	Unit Cost	Number	Total Cost	Justification of Need
Statewide WAP Database and Eligibility System	\$245,836.00	1	\$245,836.00	
			Equipment Total	
			\$245,836.00	

- 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.

The WAP in Iowa currently uses a Microsoft Access database for all data tracking and reporting of monthly expenditures. This database was built for Iowa WAP in 1999. It is becoming increasingly unstable and no longer is able to offer all necessary reporting and functionality to either the grantee or to the subgrantees. This database is not web-based which means that each subgrantee has their own copy of the database framework for their own data storage and reporting, making this a decentralized system. In the last 12-24 months, multiple subgrantees have had major database failures resulting in lost data that had to be re-entered, which created significant delays in reporting. In turn, this created delays in subgrantees being reimbursed for their incurred costs and caused delays in grantee reporting to utility companies and to DOE.

Over the same period of time, Iowa's LIHEAP program has faced increasing struggles with the multiple, decentralized systems used for LIHEAP intake/eligibility and reporting. Additionally, the contract for one of the main LIHEAP systems will end in September of 2024 and will not be renewed making replacement an urgent need. This LIHEAP data is critical to the Iowa WAP as it is the basis of eligibility and prioritization of Iowa WAP customers.

The CAA Unit recognized that it was critical to modernize the eligibility, data management, and reporting systems in order to ensure that program data is stable, accurate, protected, and easily accessible for subgrantees and grantee staff. This single system for the WAP, LIHEAP, and CSBG programs will provide increased efficiencies for both the State and subgrantees. It will also provide grantee staff with more robust access to vital program data, which will increase the accuracy of data sets required for federal reporting, improve data analysis and outcomes measurement, and facilitate data sharing. The new system will provide significant new functionality, particularly the ability for grantee staff to do real-time review and provide technical assistance when it comes to subgrantee data, reporting, documentation, and program outcomes. It will also offer subgrantees centralized access to training and technical assistance videos, program guidance, and client education information.

Grantee LIHEAP, WAP, and CSBG program staff, the Director of the Iowa Community Action Agencies Association (ICAA), as well as selected subgrantee executive staff and program users, conducted research and discovery to determine the type of system and features that would best serve our programs. A Data Governance Committee was created and provided additional oversight and input to the process through the discovery and subsequent development process. The Data Governance Committee consists of the ICAA director, grantee, and subgrantee staff.

While the group was conducting research and discovery with multiple vendors, the existing WAP database became significantly more unstable and unreliable. Additionally, it was determined that the contract for one of the main LIHEAP database providers would not be renewed upon its September 30, 2024 expiration date. This created an exigent need to have a fully functioning LIHEAP database by that date to ensure continued ability to serve all state customers.

With the replacement timeframe being critically compressed, the CAA Unit looked at existing state master agreements for vendors who would be able to provide these services by the necessary deadline. It was discovered that the State of Iowa had a master agreement in place with one of the vendors who had been reviewed by the Data Governance Group and had been recommended by other State LIHEAP and WAP grantees who use their product.

The master agreement is with Carahsoft which includes the Salesforce services and database framework as well as one of Salesforces' developers, Coastal Cloud. By transitioning to a state contracted vendor, we can ensure future alignment with state and federal program requirements, any future Iowa HHS modernization initiatives, and enhance data security measures (in particular FedRAMP compliance).

The Scope of Work (SOW) and bid for the project were developed in fall of 2023. This went through extensive review by State level and Iowa HHS procurement, IT, security, and compliance. The project was approved in early December 2023.

Phase 1 of the project was completed in early January 2024. It included the initial licensing for the Salesforce services and database framework, and direct research and development work with the developer, Coastal Cloud.

Phase 2 of the project began in late January 2024. It includes the intensive development portion of the build process for each program module, as well as for the overall eligibility component, testing, development of training materials, training of grantee and subgrantee users, and the eventual release of the completed system. The targeted "go live" completion date is October 1, 2024. Iowa WAP staff and subgrantee staff will be actively engaged in the entire Phase 2 process.

The eligibility, database, and reporting system will serve the LIHEAP, WAP, and CSBG programs. Costs for the development and ongoing licensing for the new centralized statewide system is based on the relative benefit which will be received by each program which includes calculations based on the number grantee and subgrantee users. Costs that can be specifically identified by program, such as the development cost for the WAP module, are assigned to that specific program.

The overall purchase cost for the new statewide database, eligibility, and reporting system is \$1,200,849.90.

The breakdown by program is: \$736,124.73 to LIHEAP; \$382,439.22 to WAP; and \$82,285.34 to CSBG.

Further breakdown of the \$382,439.22 total costs to the Iowa WAP is as follows:

Phase 1 – completed early January 2024

\$52,221.83 Salesforce Core – framework licensing and services

\$38,804.35 Coastal Cloud – development discovery/mapping

Phase 2 – January 2024 through target completion date of October 1, 2024

\$291,413.04 Coastal Cloud – development of module/all functionalities to completed "go live" system

The definition of Equipment in 2 CFR 200.1 includes Information Technology Systems. Our interpretation is that the costs associated with the development through "go live" full functionality (\$330,217.39) of Iowa's new statewide database, eligibility, and reporting system would be considered the cost of the "equipment". The licensing portion of the new system (\$52,221.83) would be considered ongoing Administrative costs rather than part of the one-time equipment development/purchase costs.

Weatherization Program Notice 24-1, allowable expenditures to the Grantee T&TA budget include "Grantee purchases of equipment which is directly related to specific T&TA activities, such as monitoring, etc." We believe that a portion of the costs for this system ties directly to T&TA for the WAP. For example, the new centralized, web-based system will:

Provide the ability for grantee staff and monitors to do real time review of subgrantee data (technical, financial, eligibility, etc) as it is entered into the system. The need for training and technical assistance when it comes to the correct coding, categorizing, and reporting of data is significant. This need continues to grow as subgrantee staff turnover has been increasing. Having this system will provide much greater efficiencies for grantee staff while being able to provide more immediate feedback and assistance to subgrantees. Subgrantee staff who can get assistance quickly and easily are less apt to feel frustrated which, in turn, can help reduce turnover and the challenges that presents to the program.

Provide a centralized location for training and technical guidance information. The system will provide a portal where subgrantees can access pre-recorded training videos, WAP Policy and Procedure Manuals, Work Standards, State and DOE program notices, and other guidance. As a web-based system, this information will be easily accessible for both grantee and subgrantee staff while in the field. Provide a portal for contractors to access the training and technical guidance information mentioned above. Having training videos and other program guidance as a supplement to other contractor trainings can help in the recruitment of new contractors, as well as improve the quality of work done for WAP customers. The contractor portal will also allow the uploading of contracts and required certifications. This can be reviewed in real time by grantee and subgrantee staff.

Provide on-line and/or other electronic options for customer education. The web-based system can be used in the field by subgrantee and grantee staff to provide educational materials to weatherization customers. Customers may also access this information directly via a portal which could include videos about the weatherization process, follow-up information about the work that was completed, and even specific information about the work that was done on their home.

Provide greater efficiency and accuracy in the evaluation of program outcomes and trends. The current de-centralized database system is unstable and has lost much of its original functionality. The ability to easily query data for analysis is severely limited and very time consuming for grantee and subgrantee staff and monitors. The new centralized system will allow for faster, more accurate review of program information at all times. This can help identify training and technical assistance needs for all levels of subgrantee staff, as well as helping grantee staff and monitors identify trends that may need to be addressed through changes to procedures and/or policy. Technical, Administrative/Program, and Fiscal monitors rely on the data as a key part of their review of each subgrantee and the program overall.

Subgrantee staff are already actively participating in the development of the new data system. They, along with grantee staff, are working directly with the developer to ensure that the new system addresses some of the unique challenges of tracking the technical and cost data for the WAP. Subgrantee staff will also play a key role in ensuring that training materials address their specific needs and communicate processes clearly for fellow users.

Therefore, we are requesting approval to use \$245,836 of DOE-23 Grantee T&TA carryover for a portion the Phase 2 WAP module development costs. The remaining balance of \$136,603.22 for the balance of Phase 2 and all of the Phase 1 costs will be paid for with non-DOE funds. Only those development costs for services occurring after April 1, 2024 would be charged to the DOE-24 contract. Any costs for services provided prior to April 1, 2024 will be paid for with non-DOE funds. Future ongoing licensing and maintenance are included in the DOE-24 Grantee Administration budget. The carryover would stay within the DOE-24 Grantee T&TA budget category.

See attachments.

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

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

General Category	Cost	Justification of Need
Office supplies	\$4,500.00	General office supplies to administer the program and maintain records.
Misc. tools, training supplies	\$6,390.00	Used during inspections of homes and for training.
Materials and Supplies Total	\$10,890.00	

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

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

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

Name of Proposed Sub	Total Cost	Basis of Cost*
Subgrantees (Admin, Health & Safety and Program Operations)	\$5,556,934.00	Based on state formula for subgrantees.

Weatherization Readiness funds	\$1,118,887.00	To be allocated on a case-by-case basis to subgrantees with eligible readiness projects.
Subgrantee T&TA	\$334,477.00	Each subgrantee is provided T&TA to provide weatherization training to staff. These funds will be used for registration, salary/fringe, travel and per-diem to attend the training and conferences. Each agency is required to provide Comprehensive Home Energy Professional Energy Auditor or QCI training to employees. T&TA funds may also be used for specific training provided by grantee or other sources.
Contracts and Subgrants Total	\$7,010,298.00	

*For example, Competitive, Historical, Quote, Catalog

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

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

General Description	Cost	Justification of Need
Professional Services	\$3,000.00	Technical assistance with WAP database.
IT Equipment and Software	\$59,000.00	Licensing for new statewide WAP database and eligibility system, licensing for Adobe and other software programs used by WAP staff.
Postage	\$200.00	Mailing needs for the WAP.
Communications	\$4,000.00	Desk phones, internet, cell phones
Comprehensive Training	\$16,000.00	Cost to provide Comprehensive Training to subgrantees.
Specific Training	\$5,000.00	To provide Specific training to all subgrantee weatherization staff about on-going changes in testing, measure installation, reporting, and inspection procedures. Some of this will include the basic courses required by CAA Unit for weatherization staff.
State Vehicle Operations	\$8,500.00	Use and maintenance of state fleet vehicles.
Printing	\$1,000.00	State WAP forms, manuals, etc.
Iowa WAP Conference	\$10,000.00	Annual conference for WAP subgrantees to review programmatic changes and provide training.
ITD Reimbursements	\$3,400.00	State IT help desk and assistance
Other Direct Costs Total	\$110,100.00	

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

All costs included in "Other Costs" are properly excluded from indirect costs to ensure there are not duplicate charges. All costs proposed are used in support of the Weatherization Program only. Estimated costs are based on historical spending detail.

Comprehensive training and Specific training costs as well as costs for the Iowa WAP Conference are based on estimated fees charged for training locations, trainers and other related costs.

8. INDIRECT COSTS

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

The Iowa Department of Health and Human Services (Iowa HHS) was created from the merger of the Department of Public Health and the Department of Human Services, the Department of Human Rights, the Department on Aging, and includes the Volunteer Iowa program which was previously housed in a different department.

As a new agency, Iowa HHS does not have approved provisional indirect cost rates for SFY24 and won't have approved rates until they are approved by the federal Department of Health and Human Services, Cost Allocation Services (CAS).

Iowa HHS submitted the proposed rates to CAS on November 29, 2023 (see SF-424 attachment), for the state fiscal year beginning July 1, 2023, and will use these rates until the new rates are negotiated. If the approved rates vary from the proposed rates, we will notify you as soon as possible.

The Weatherization Assistance Program was part of the previous Department of Human Rights and is now part of Iowa HHS as a result of the merger. The proposed rate for the programs contained in the former Department of Human Rights is 24.68%. The base for indirect costs is direct salaries, wages, and all fringe benefits.

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

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

Name: Jim Mezera

Phone Number: 5152810898

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
T&TA - Personnel and Fringe	\$521,223.57	24.6800 %	\$128,637.98
Administration - Personnel and Fringe	\$184,238.17	24.6800 %	\$45,469.98
		Indirect Costs Total	\$174,107.96

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

Name: **01 Community Opportunities, Inc**

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

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

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

Tentative allocation: \$ 276,012.00
Planned units: 19
Type of organization: Local agency

Congressional districts served: CD
IA-04
IA-03

Source of labor: Contractors

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

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

Address: 1515 Hawkeye Drive
Hiawatha, IA 52233-0000

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

Tentative allocation: \$ 864,921.00
Planned units: 66
Type of organization: Local agency

Congressional districts served: CD
IA-02
IA-01

Source of labor: Agency and Contractors

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

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

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

Counties served: CEDAR County
CLINTON County
SCOTT County
MUSCATINE County

Tentative allocation: \$ 503,139.00
Planned units: 38
Type of organization: Local agency

Congressional districts served: CD
IA-02

Source of labor: Contractors

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

Name: **04 MATURA Action Corporation**

Contact: Danna Buls

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

UEI: H75EUS5K4U61

DUNS: 069616266

Phone: (641) 782-8431

Fax: (641) 782-6287

Email: dbuls@maturaia.org

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

Tentative allocation: \$ 114,860.00

Planned units: 7

Type of organization: Local agency

Congressional districts served:

CD
IA-03

Source of labor: Contractors

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

Contact: Terri Tague

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

UEI: ENJVY1JCNJC3

DUNS: 107350035

Phone: (641) 752-7162

Fax: (641) 752-9724

Email: ttague@micaonline.org

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

Tentative allocation: \$ 374,974.00

Planned units: 27

Type of organization: Local agency

Congressional districts served:

CD
IA-04
IA-02
IA-01

Source of labor: Contractors

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

Contact: Julie Colling

Address: 418 Marion St
Remsen, IA 51050-0000

UEI: HH5GAB2EAHC5

DUNS: 087073268

Phone: (712) 786-3415

Fax: (712) 786-3250

Email: jcolling@midsioux.org

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

Tentative allocation: \$ 157,040.00

Planned units: 10

Type of organization: Local agency

Congressional districts served:

CD
IA-04

Source of labor: Contractors

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

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

Contact: Scott Fischer

Address: 305 Montgomery
Decorah, IA 52101-0000

UEI: JN9ZJML554M9

DUNS: 098025059

Phone: (563) 382-8436

Fax: (563) 382-9854

Email: sfischer@neicac.org

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

Tentative allocation: \$ 277,634.00
Planned units: 19
Type of organization: Local agency

Congressional districts served: CD
IA-04
IA-01

Source of labor: Agency and Contractors

Name: **11 Operation Threshold**

Contact: Joe Ambrose

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

UEI: NPHUT8CN44K6

DUNS: 078094877

Phone: (319) 291-2065

Fax: (319) 235-1518

Email: jambrose@operationthreshold.org

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

Tentative allocation: \$ 393,902.00
Planned units: 29
Type of organization: Local agency

Congressional districts served: CD
IA-01
IA-04

Source of labor: Agency and Contractors

Name: **12 IMPACT Community Action Partnership**

Contact: Jen Heitoff

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

UEI: PF2YNQCKL161

DUNS: 163976731

Phone: (515) 777-7566

Fax: (515) 273-9833

Email: jheitoff@impactcap.org

Counties served: WARREN County
BOONE County
MARION County

Tentative allocation: \$ 165,693.00
Planned units: 11
Type of organization: Local agency

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

Source of labor: Contractors

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

Name: 13 South Central Iowa Community Action Program		Contact: Brenda McKnight
Address: 1711 Osceola Ave, suite 103 Chariton, IA 50049-0000		UEI: U8MGMBASYEG3
Counties served: WAYNE County DECATUR County LUCAS County CLARKE County MONROE County		DUNS: 161917281
Tentative allocation: \$ 117,023.00		Phone: (641) 774-8133
Planned units: 7		Fax: () -
Type of organization: Local agency		Email: bmcknight@scicap.org
Source of labor: Contractors		Congressional districts served: <u>CD</u> IA-02

Name: 14 Community Action of Southeast Iowa		Contact: Jim Blackwell
Address: 2850 Mt. Pleasant Street, Suite 108 Burlington, IA 52061-0000		UEI: MFS1MU9NBEM7
Counties served: LEE County DES MOINES County LOUISA County HENRY County		DUNS: 094782687
Tentative allocation: \$ 260,870.00		Phone: (319) 753-0193
Planned units: 18		Fax: (319) 753-0887
Type of organization: Local agency		Email: jim.blackwell@caofseia.org
Source of labor: Agency and Contractors		Congressional districts served: <u>CD</u> IA-02

Name: 15 Southern Iowa Economic Development		Contact: Jenna Fleener
Address: 725 W. Second Street P.O. Box 658 Ottumwa, IA 52501-0000		UEI: K3WSBQKJ5XK3
Counties served: JEFFERSON County MAHASKA County KEOKUK County WAPELLO County APPANOOSE County VAN BUREN County DAVIS County		DUNS: 040588170
Tentative allocation: \$ 302,510.00		Phone: (641) 682-8741
Planned units: 21		Fax: (641) 682-2026
Type of organization: Local agency		Email: jfleener@sieda.org
Source of labor: Contractors		Congressional districts served: <u>CD</u> IA-02

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

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

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

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

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

Tentative allocation: \$ 525,852.00
Planned units: 40
Type of organization: Local agency

Congressional districts served: CD
IA-04
IA-01

Source of labor: Contractors

Name: **17 West Central Community Action**

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

Address: 1408 A Hwy 44
P.O. Box 709
Harlan, IA 51537-0000

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

Tentative allocation: \$ 376,597.00
Planned units: 27
Type of organization: Local agency

Congressional districts served: CD
IA-03
IA-04

Source of labor: Contractors

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: IA Grant Number: EE0009902 Program Year: 2024

Name: **18 Community Action of Siouxland**

Address: 2700 Leech
Sioux City, IA 51106-0000

Counties served: WOODBURY County
MONONA County

Tentative allocation: \$ 261,411.00
Planned units: 18
Type of organization: Local agency
Source of labor: Contractors

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

Congressional districts served: CD
IA-04

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

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

Counties served: POLK County

Tentative allocation: \$ 750,275.00
Planned units: 57
Type of organization: Unit of local government
Source of labor: Contractors

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

Congressional districts served: CD
IA-03

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
01 Community Opportunities, Inc (Carroll)	\$276,012.00 19
02 Hawkeye Area Community Action Program (Hiawatha)	\$864,921.00 66
03 Community Action of Eastern Iowa (Davenport)	\$503,139.00 38
04 MATURA Action Corporation (Creston)	\$114,860.00 7
05 Mid-Iowa Community Action Agency (Marshalltown)	\$374,974.00 27
06 Mid-Sioux Opportunity, Inc. (Remsen)	\$157,040.00 10
09 Northeast Iowa Community Action Corporation (Decorah)	\$277,634.00 19
11 Operation Threshold (Waterloo)	\$393,902.00 29
12 IMPACT Community Action Partnership (Des Moines)	\$165,693.00 11
13 South Central Iowa Community Action Program (Chariton)	\$117,023.00 7
14 Community Action of Southeast Iowa (Burlington)	\$260,870.00 18
15 Southern Iowa Economic Development (Ottumwa)	\$302,510.00 21
16 Upper Des Moines Opportunity, Inc. (Graettinger)	\$525,852.00 40
17 West Central Community Action (Harlan)	\$376,597.00 27
18 Community Action of Siouxland (Sioux City)	\$261,411.00 18
20 Polk County Board of Supervisors (Des Moines)	\$750,275.00 57
Total:	\$5,722,713.00 414

IV.2 WAP Production Schedule

Weatherization Plans		Units
Total Units (excluding reweatherized)		414
Reweatherized Units		10
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	414
C	Total Units Reweatherized	10

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	424
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	\$3,428,576.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	424
H	Average Program Operations Costs per Unit (F divided by G)	\$8,086.26
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$8,086.26

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	424	29.3	12423
Prior Year Estimate	407	29.3	11925
Prior Year Actual	340	29.3	9962

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

CAA Unit does not use DOE funds for leveraging activities.

IV.5 Policy Advisory Council Members

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

Amanda Peterson	Type of organization: Other Contact Name: Phone: 7122595344 Email: amandasueann712@gmail.com
Amanda Peterson	Type of organization: Other Contact Name: Phone: 7122595344 Email: amandasueann712@gmail.com
Baker-Maynes, Bobbi	Type of organization: Other Contact Name: Phone: 6413446208 Email: lbmaynes@netins.net
Brown, Kevin	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 7123321111 Email: kevinclaybrown@gmail.com
Eugene Kiruhura	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 5155257801 Email: pastoreugene@shalomcovenantchurch.org
Eugene Kiruhura	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 5155257801 Email: pastoreugene@shalomcovenantchurch.org
Iowa Commission for the Division of Community Action Agencies	Type of organization: Other Contact Name: Melanie Ruffalo Phone: 5152813861

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

Murphy, John	Email: Melanie.Ruffalo@iowa.gov Type of organization: Local agency Contact Name: Phone: 5635139064 Email: jmurphy@caciowa.org
Nicole Conrad	Type of organization: Unit of Local Government Contact Name: Phone: 5155703228 Email: Niki.Conrad@webstercountyia.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
02/05/2024	The Iowa DOE PY24 State Plan Public Hearing notice was posted on January 26, 2024 in the Iowa Weatherization Program website (https://hhs.iowa.gov/programs/programs-and-services/weatherization), the Iowa Department of Health and Human Services Facebook page and Twitter account. Notices were also sent to the Iowa Community Action Association and all Subgrantees, along with an electronic copy of the the proposed plan. The notice is attached to the SF-424. The virtual public hearing was held on February 5, 2024.

IV.7 Miscellaneous

Recipient Business Officer:
Erin Drinnin, Director, Division of Community Access

edrinni@dhs.state.ia.us

515-732-1177

Recipient Principal Investigator:
Christine Taylor, Weatherization Program Manager
christine.taylor@iowa.gov
515-499-3163

The Commission for the Division of Community Access, Community Action Agencies Unit, serves as the PAC for Iowa WAP. The commission members are appointed by the Governor of Iowa. There are currently three vacant seats on the commission (two consumers and one business member). Iowa's PAC meets quarterly.

- Three of the commissioners are elected officials. Those individuals have been identified as such in the PAC list.
- Three of the commissioners represent low-income. Type of Organization is listed as Other in the PAC list.
- Three of the commissioners represent private business and industry. Type of Organization is listed as For-Profit or Corporate in the PAC list.

The PAC met on February 5, 2024 to approve the PY2024 Weatherization State Plan. The minutes are attached to the SF-424.

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

CAA Unit projects an average project cost of \$8,497 for program year 2024. The actual average cost (without Health and Safety) for completions in Iowa is \$14,828 with a portion of that paid by other non-DOE funds. Since those funds are subject to change, not guaranteed, CAA Unit budgets the maximum average allowed by DOE for each of the subgrantees. If those other funds are available, then the DOE-funded average will be lower and additional homes will be completed using DOE funds.

Weatherization Readiness Fund (WRF)

CAA Unit holds the weatherization readiness funds in a pool for distribution to subgrantees on a case-by-case basis.

Subgrantees submit an application requesting WRF. The application includes:

- Cause for initial deferral – including photos of deferral issues.
- Description of structure (site-built, manufactured home)
- Year built
- Nature of repairs needed if applicable, identify multiple repairs or remediation reasons for a single building

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- Copies of bids

CAA Unit will review requests and issues contract amendments if approved for the job costs. Completed work is reported to CAA Unit through monthly financial reports.

CAA Unit collects required information for DOE reporting.

Customers on the waiting list are currently prioritized by fuel usage, elderly, disabled and young children. Subgrantees will continue to utilize the current waiting list and request WRF as needed for those homes. Landlords are required to contribute a percentage of the costs before readiness funds will be used for rental properties. If the landlord is unwilling to contribute, the home will be deferred.

The expenditure limit is \$20,000 per home. Subgrantees are encouraged to use any other available funds to supplement the WRF. Costs exceeding the expenditure limit will be covered with other funding sources, unless a waiver is granted by the CAA Unit to exceed the expenditure limit. Subgrantees understand that WRF work must result in a weatherization completion.

Projects will include but not be limited to:

- Roof repair/replacement
- Foundation repair
- Plumbing repair
- Electrical repair
- Lead and/or asbestos remediation
- Slate siding repair/replacement
- Interior wall/ceiling repair
- Floor repair
- Moisture issues including guttering and drainage

Grantee technical monitors will inspect a minimum of 5% of the homes receiving WRF (a minimum of 10% of the homes will be inspected where the auditor and QCI are the same person) to ensure proper use of funds and that the home was reported as a completion.

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

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

The gross income of all household members residing in the household at the time of application shall be counted to determine eligibility. Household members may only be listed on one application per year. Verification of income is required of all participants before an application is complete with the exception of the income of individuals age 18 and under, employed part-time, are exempt. The name on the application must match the name on the income documentation. This verification may take the form of pay receipts, payroll checks, a statement signed by the employer if the salary is paid in cash, etc. Other evidence, such as copies of unemployment checks may also be accepted. If an applicant refuses to produce proof of income and does not authorize the agency to verify earnings, the applicant shall not be eligible for program benefits. Verification of income will be provided before eligibility may be certified. An applicant may elect to use the most recent 30 days, the last 12 months, or the most recent calendar year as a qualification period. If an applicant is not eligible under the time period first selected, one of the alternative periods may be selected to qualify. The applicant must be informed of the right to select different qualification periods. In an effort to qualify clients for the LIHEAP program, this process was established by LIHEAP and followed by all subgrantees to determine eligibility for both LIHEAP and WAP.

Approximately 163,557 households in the state of Iowa are at or below 200% of poverty.

Additional priorities are given to households with elderly, disabled, young children and high energy costs. These are further described in Section V.3.

Describe what household eligibility basis will be used in the Program

The definition of 'low-income' that Iowa uses to determine eligibility for the Iowa Weatherization Assistance Program complies with 10 CFR 440.22. Program eligibility is based on total household income at, or below, 200 percent of the poverty level, as established by the Office of Management (OMB), households receiving assistance under the Low-Income Home Energy Assistance Program, households receiving payments under Title IV and XVI of the Social Security Act in the past 12 months and households receiving assistance from HUD means-tested program at or below 80% of area median income. Persons who are eligible for the LIHEAP program are automatically approved for the Weatherization Program. Persons may also apply for Weatherization Program assistance without applying for LIHEAP assistance; however, these persons will still be required to complete the eligibility process used for the LIHEAP program.

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

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

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

If the applicant is a temporary foreign national not authorized for employment, verification of a Social Security number may be waived. However, they must present their I-94 card so the Iowa LIHEAP program can record the USCIS number in lieu of the SSN. This applies to all household members in this category, regardless of age.

Copies of such verification must be included in every file. If the applicant household has provided acceptable documentation in the previous year, this requirement is waived. However, if the household has gained a member since their last application, documentation is required. In order to be fair to households with newborns, the requirement for a Social Security Number for that child is waived, as long as the child is 120 days old, or younger, at the time of application. A copy of the birth certificate is included in the LIHEAP application file.

These are the requirements of the LIHEAP Program in Iowa, which comply with the HHS requirements.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling unit will be weatherized without documentation that the dwelling unit is an eligible unit, as defined by 10 CFR 440.22. The local subgrantees verify applicants' income during the application process. Subgrantees are required to maintain records that include documentation of customer eligibility. The local

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

subgrantees maintain records of previously weatherized dwelling units in a database. The database is checked prior to scheduling a household for service to ensure that the home has not been previously weatherized. If the home has been previously weatherized and is not eligible for re-weatherization, as defined in 10 CFR 440.18, the house will not be weatherized. If the home is eligible for re-weatherization, the subgrantee makes a determination whether or not to re-weatherize the home based on a number of factors including the energy usage of the home and the number of eligible households on the waiting list.

Dwellings are not eligible for re-weatherization if completed in the past 15 years.

Property ownership is verified and documented by using the County Assessors website. Search results showing ownership of each home are maintained in household files.

All household files will contain the required documentation to show eligibility including: Approved customer applications, Landlord Agreements (if applicable), SHPO documentation indicating age of home, etc. Income documentation for renters meets the same requirement as owner-occupied units. That documentation is established through the LIHEAP intake process.

Describe Reweathering compliance

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

Dwellings are not eligible for re-weatherization if completed within the past 15 years. If the home is eligible for re-weatherization, the subgrantee makes a determination whether or not to re-weatherize the home based on a number of factors including the energy usage of the home and the number of eligible households on the waiting list.

If the President or the Governor of the State of Iowa declares a Federal or State Emergency for areas of the state due to a natural disaster, the grantee will allow local agencies within those affected areas to use existing resources to address the needs of the people in the area. DOE funds will NOT be used to re-weatherization these homes if they were weatherized in the past 15 years. In declared disaster areas, homes weatherized within the past 15 years may be eligible for re-weatherization using other sources of funds.

Describe what structures are eligible for weatherization

All eligible households are considered for weatherization services regardless of type of building structure. Customer selection for service is based on a point system calculated using an estimate of annual customer bill savings for heating, water heating and air conditioning measures. This system is applied by the subgrantees to all eligible applicants within a county to establish a prioritized waiting list.

Structures without a physical mailing address, such as non-stationary campers or trailers, are not considered as eligible for weatherization.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer.

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

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

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

Describe how Rental Units/Multifamily Buildings will be addressed

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

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

The benefit of services provided to rental units will apply primarily to the tenants residing in the units. In most cases, the tenants will benefit by lowering the monthly heating costs they pay. In cases where the tenant is not directly responsible for heating costs, the tenant will benefit from a warmer and safer dwelling after weatherization services have been provided.

When a unit within a multi-unit building (5 or more units) is at the top of the prioritized customer waiting list, the subgrantee will first determine if the building has been

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

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

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

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

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

Subgrantees will use an agreement, signed by the owner, which states the following:

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

In the event of a dispute between the tenant and the landlord regarding the issues listed above, the subgrantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the subgrantee. The use of this agreement will help protect the rights of the tenant.

Subgrantee contracts include the following provision:

No dwelling unit will be served without prior written approval from the owner or rental agent. The benefits of weatherization assistance shall accrue primarily to the low-income tenants. For a reasonable period of time after weatherization work has been completed on a dwelling, the tenants in that dwelling shall not be subjected to rent increases because of the increased value of the dwelling due solely to weatherization assistance provided under this part. No undue or excessive enhancement shall occur to the value of the dwelling. In the event of a dispute between the tenant and the landlord regarding these issues, the subgrantee shall attempt to resolve the dispute. If the subgrantee is not able to resolve the dispute, the tenant shall be referred to legal aid.

Describe the deferral Process

Although a customer may be eligible for the Weatherization Program, there are situations or conditions where weatherization services should be deferred (i.e. delayed or postponed). Hopefully, the decision to defer weatherization can be made before work, or any significant work begins on a dwelling. However, there are times when work will have begun on a dwelling before one of the situations or conditions is identified. In those cases, the subgrantee should defer doing any additional work.

Deferring work on a dwelling does not mean the dwelling will never be weatherized. If the situation or condition causing the deferral changes, it may be possible to begin or complete the work. For example, a dwelling shouldn't be weatherized if it has a roof that leaks or will likely leak. However, the dwelling can be weatherized later if the roof is replaced or repaired. Another example is a dwelling undergoing remodeling. The dwelling should not be weatherized while it is being remodeled. However, after the remodeling is completed, the dwelling may be weatherized.

Deferral Notification

When an agency defers work on a dwelling, it must notify the customer, and the landlord when appropriate, in writing of the reason using the Deferral Documentation Form. A copy of the notification, with documentation justifying the decision to defer services, must be kept in the house file. Subgrantees should attempt to identify all reasons why work is being deferred on a home and notify the customer and/or landlord of all the reasons for deferral and what must be done in order for weatherization work to begin.

Following are reasons weatherization services should be deferred. This list is not intended to be all inclusive:

When a customer:

- Refuses to sign the "Release of Liability Form".
- Moves or dies while weatherization services are being provided. (Weatherization services may be completed with family/landlord approval if the majority of work is done prior to the customer moving/dying.)
- Is uncooperative including, but not limited to:
 - Refusing to allow the installation of top energy efficiency measures or important health and safety measures.

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- Refusing access to parts of home that prevent the energy audit of the home from being performed or prevents important measures from being installed.
- Refusing to change behavior that can cause health and safety problems (e.g. refusal to discontinue using excessive number of humidifiers).

When a customer, or other occupant in a dwelling:

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

When a dwelling:

- Is posted as being "For Sale" or is known to be for sale (except homes currently in a housing rehabilitation program).
- Has an cumulative SIR of <1.0.
- Is scheduled for demolition or is in an area slated for development.
- Poses a health or safety hazard to crew workers or contractors. For example: rats, bats, roaches, reptiles, insects, animals or other vermin inappropriately or not properly contained on the premises.
- Is undergoing remodeling or has unfinished areas, which directly affect the weatherization process. Weatherization work may be done when the remodeling is completed.
- Is so full of clutter that a weatherization energy audit or weatherization services cannot be done.
- Is beyond the scope of the program due to major structural deficiencies or is in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner. Examples would be dwellings requiring a new roof or foundation repair or where lead exposure cannot be mitigated with safe work practices.
- One or more health and safety hazards exist that must be corrected by the customer (or landlord) before weatherization services may begin. Examples include, but are not limited to:
 - Severe mold or moisture problems (such as pooling in the crawlspace or standing water in the basement) so severe they cannot be resolved within program limits.
 - The presence of animal feces or raw sewage that prevents weatherization measures from being installed.
 - The presence of a primary heat source unvented space heater unless the unvented space heater is removed from the dwelling. If the unvented space heater is a secondary heat source it may be left in place if it meets ANSI Z21.11.2 requirements.
 - The presence of disconnected water waste pipes or hazardous electrical wiring.
 - The presence of asbestos, including vermiculite that contains asbestos, that prevents weatherization measures from being installed.
 - When health and safety hazards, including unsafe combustion appliances, could pose a health or safety threat to customers but the weatherization program cannot mitigate the hazards due to expenditure limits or program rule/policy limits.
- When a manufactured home:
 - Has been improperly set. Any installation deficiencies will be repaired by the customer or landlord before starting work. Home must be stabilized in accordance with manufacturer specifications or local authority having jurisdiction.
 - Has a fireplace or heating stove drawing combustion air from inside the dwelling.
 - Has a heating system other than a heating system manufactured for manufacture homes or a sealed combustion high efficiency furnace with modifications per manufacturer's instructions and installed properly to include outside air for combustion.

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

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

Deferral Appeals Process

Applicants whose home has been deferred may appeal the decision to defer work on the home according to the Iowa Weatherization Program Policies and Procedures Manual, attached to the SF-424.

V.1.3 Definition of Children

Definition of children (below age): **6**

V.1.4 Approach to Tribal Organizations

Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

Low-income members of Native American tribes will receive benefits equivalent to the assistance provided to other low-income persons in the state.

V.2 Selection of Areas to Be Served

The Division of Community Access, Community Action Agencies Unit (CAA Unit), within the Department of Health and Human Services, is designated by the Governor to administer the grant from the U.S. Department of Energy for the Iowa Weatherization Assistance Program. Local subgrantees are selected by the CAA Unit to administer the program in local areas throughout the state.

It is the intent of the CAA Unit, as the state grantee, to only consider and contract with subgrantees that have the capacity to meet the needs of the local areas they serve. The Code of Federal Regulations, 10 CFR, Part 440, requires states to give preference to Community Action Agencies and other non-profit entities when selecting subgrantees to administer local weatherization programs.

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

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

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

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

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

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

- Capacity of deliver the service
- Quality of work

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- Geographical proximity to the service area

V.3 Priorities

Iowa uses the five DOE priority categories. The category High Energy Burden is defined as households eligible for LIHEAP. Therefore, the LIHEAP customer list becomes the WAP waiting list each year. Customers ineligible for LIHEAP, but who applied for the program, are also included in the data received from LIHEAP. Other customers, who did not apply for LIHEAP, may make application for weatherization at any time during the year and be placed on the waiting list. Priority for those on the list is given to households with the highest energy usage (greatest potential for savings). Customer selection for service is based on a point system based on an estimate of annual customer bill savings for heating, water heating, and air conditioning measures. Additional points are given if any household members are elderly, disabled, or young children.

A household's customer point total will be increased by 5 percent for each of the following situations:

- The household is occupied by an elderly person
- The household is occupied by a person with disabilities
- The household is occupied by a young child

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

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

Customer priority is implemented on a per county basis. Customers will be served in order beginning with those customers with the highest customer points, including increases for elderly, disabled, and children. Any waiver from the point system may be made for the following reason only. Customers who are customers of utilities that are co-funding weatherization, or customers who are eligible for other funding sources which can be used in conjunction with regular weatherization program funds to pay for non-energy-related health and safety and repair work (e.g. furnace repair/replacement, wiring or roof repair, asbestos abatement, etc.) may be served ahead of customers with higher points, if, by doing so, regular program funds (i.e. DOE or HEAP) can be spread further, thus allowing the subgrantee to serve more customers.

Shelters are eligible for weatherization with grantee approval. Before approving weatherization of a shelter, the grantee will discuss it with the DOE Project Officer. Shelters are excluded from the priority point system.

V.4 Climatic Conditions

The climatic conditions in Iowa range from an average low of 5,806 heating degree days in the southeast portion of the state to a high of 7,173 heating degree days in the north portion of the state using a base of 65° F. The heating degree-days statewide average is 6,419. The average heating degree-days in each area served by each weatherization subgrantee is shown below.

Iowa uses the NEAT/MHEA Audit to determine cost-effective measures to install in eligible dwellings. The NEAT/MHEA Audit considers heating degree-days in its analysis of costs-effectiveness. The higher the degree-days, the more cost-effective a measure or group of measures may be, if other factors remain constant. Each subgrantee uses the heating degree-day data provided with the NEAT/MHEA Audit that is most appropriate to its geographical service area.

HDD/CDD data is from AccuWeather. The HDD/CDD 15-year average (2009 - 2023) for each subgrantee was calculated by summing the data for county weather site for each subgrantee area and then calculating the average of that number.

Agency	HDD Average	CDD Average
New Opportunities	6,645	1,112
HACAP	6,296	1,276
Eastern Iowa	6,342	1,075
MATURA	6,313	1,057
MICA	6,887	956
Mid Sioux	7,121	992

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

Northeast Iowa	7,136	808
Threshold	6,924	989
IMPACT	5,998	1,336
SCICAP	5,965	1,188
SE Iowa	5,806	1,214
Sieda	6,173	1,116
UDMO	7,173	1,006
West Central	6,412	1,128
Siouxland	5,507	971
Polk County	5,998	1,336
State Averages	6,419	1,098

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

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

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

- *Iowa Weatherization Policies and Procedures Manual* - last updated 2024
- *Iowa Weatherization Work Standards* - last updated 2024 (copy in the Document Library)
- *Iowa Weatherization Retrofitting Guide* - new for PY 2023
- *Iowa Weatherization General Appendix* - last updated 2024
- *NEAT Audit Manual* - last updated 2024
- *MHEA Audit Manual* - last updated 2024
- Various State Program Notices - issued as needed

The current *Iowa Weatherization Work Standards*, along with Variance Requests, were approved by DOE in 2021. There have been no substantial changes since that time.

Subgrantee contracts include the following language:

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

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

This language assures the grantee that subgrantees are in receipt of and responsible for all the required work. Subgrantee contracts with private contractors are required to contain the following language:

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

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

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

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

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

All of these manuals and notices are distributed to subgrantees and made available to subgrantees and grantee staff online.

Other items made available online to subgrantees include but are not limited to:

- Annual subgrantee contracts
- SHPO requirements
- Lead safe renovation requirements
- Licensing requirements for professionals (HVAC, electricians, plumbers, etc.)
- All forms required for customer files
- Templates for contracting labor and materials at the subgrantee level

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

The Iowa Weatherization Program also utilizes a software package for ASHRAE 62.2 (most current version) calculations. REDCalc is from Residential Energy Dynamics.

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

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

Field guide types approval dates

Single-Family: 9/3/2021
Manufactured Housing: 9/3/2021
Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

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

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

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

Audit Procedure: Multi-Family

Audit Name:

Approval Date:

Comments

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

Iowa currently uses NEAT/MHEA version 8.9. All subgrantees will transition to NEAT/MHEA WAweb no later than April 1, 2024.

Directions on how to input fuel costs into version 8.9 is emailed to the subgrantees. Once the transition to WAweb is complete, the grantee will make the fuel cost updates, instead of the subgrantees.

WPN 19-4 requires that grantees submit energy audit approval requests at least 6 months in advance of the expiration date. The Iowa WAP intends to comply with this requirement.

Iowa's NEAT/MHEA Audit was approved 10/17/2023.

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

Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. In PY2023 there were no multi-unit dwellings weatherized. If a multi-unit dwelling is at the top of the prioritized waiting list, an outside contractor will be utilized to perform a DOE-approved audit on the structure. Multi-unit projects will be submitted to the DOE Project Officer prior to weatherization as specified in WPN 19-4 Section 1.

V.5.3 Final Inspection

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

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

Before reporting a unit as complete, each subgrantee is required to conduct a QCI final inspection using criteria that align with the quality specifications outlined in Section 1 of WPN 22-4 to ensure the following:

- Ensure the initial energy audit was adequate in identifying measures to be completed on the home. This includes identifying opportunities for saving energy that were missed in the initial energy audit.
- Complete health and safety diagnostics.
- Ensure the work called for by the energy audit and the NEAT/MHEA Audit was done, including both health and safety and energy efficiency work.
- Ensure the work performed is in accordance with the *Iowa Weatherization Program Policies and Procedures Manual*, *Iowa Weatherization Program Work Standards*, and the NEAT/MHEA Audit recommended measures.
- Ensure the materials used, other than for health and safety, repair, and/or utility-funded measures, meet or exceed Federal specifications as described in the most current version of 10 CFR 440, Appendix A, "Standards for Weatherization Materials".
- Ensure all materials were installed according to the National Uniform Building Code, International Residential Code, local building codes, the *Iowa Weatherization Program Work Standards* and the *Iowa Weatherization Retrofitting Guide* (reflecting SWS requirements).
- Ensure the work is complete and is of high quality.
- Ensure the materials charged to the home were applied to or installed in the home.

Subgrantee QCIs must sign and date each final inspection form certifying that the factors listed above were met. The final inspection forms must be filed in the customer (home) file. Compliance with this requirement is checked during administrative monitoring visits. Subgrantees may not report dwellings as complete until a QCI final inspection of the unit has been performed. Grantee technical monitoring reports must also be filed in the customer (home) file.

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

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

Grantee QCI monitoring will include home file review, review of measures installed, diagnostic testing, visual inspection of work completed, etc. and a field inspection of the work that was done. Copies of grantee monitoring tools are included with the SF-424.

All manuals and notices are distributed to subgrantees via email and made available to subgrantees and grantee staff online.

Subgrantee contracts include the following language:

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

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

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

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

In addition, Contractors must be able to demonstrate, that they are qualified to perform the necessary work described in the Iowa Weatherization Assistance Program's Weatherization Work Standards and Iowa Weatherization Retrofitting Guide (which reflects SWS requirements), and in this Contract and subsequent attachments. By signing the end of this document, the Contractor agrees to comply with the following:

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

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

Grantee Policy for Subgrantee QCI:

The grantee will use the DOE-prescribed QCI Policy as described below.

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

Independent QCI: For those subgrantees with more than one staff person conducting home energy audits and inspections, the duties must be separated between staff. The QCI must be totally independent of all other job functions. The grantee will monitor a minimum of 5% of reported completed homes at these subgrantees.

Grantee Policy for Grantee QCI:

The grantee will use the DOE-prescribed QCI policy as described below.

If the grantee QCI assisted the subgrantee with the energy audit of a home, a different grantee QCI must conduct the grantee QCI inspection.

QCI Mentorship Option

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

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

be reviewed and approved by a certified QCI.

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

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

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

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

V.6 Weatherization Analysis of Effectiveness

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

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

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

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

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

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

V.7 Health and Safety

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

Iowa WAP's actual health and safety average expenditure for DOE completions is at 75.166%. The health and safety budget for Iowa is based on 35% of the \$8,497 ACPU. Costs above 35% of the ACPU are paid for by non-DOE funds.

Heating units and water heaters are generally replaced for health and safety reasons because the NEAT/MHEA Audit doesn't call for them to be replaced as an energy conservation measure. Coupled with skyrocketing material and labor costs, Iowa's average health and safety costs are higher than normal.

The grantee developed the H&S Plan for PY 2024 utilizing WPN 22-7, WPN 22-7 Table of Issues.

The State of Iowa Weatherization Program does not allow partial weatherization to count as completed homes. All measures called for by the NEAT/MHEA audit must

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, **State:** IA, **Program Year:** 2024
Recipient: State of Iowa

be completed or the unit cannot be counted as a completion.

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

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

V.8 Program Management

V.8.1 Overview and Organization

The Weatherization Program is administered by the Weatherization Assistance Program, which is in the Community Action Agencies Unit (CAA Unit), in the Division of Community Access, in the Department of Health and Human Services. See attachment to the SF-424 for the organization structure of CAA Unit. The other programs in the CAA Unit are the state's Low-Income Home Energy Assistance Program (LIHEAP), and the state's Community Services Block Grant (CSBG). The local subgrantees that administer the LIHEAP Program and CSBG at the local level are, with one exception, the same subgrantees that administer the Weatherization Program at the local level. This allows the three programs to coordinate various activities and share information involving the subgrantees. For example, all three programs use one customer application form.

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

- *Iowa Weatherization Policies and Procedures Manual*
- *Iowa Weatherization Work Standards*
- *Iowa Weatherization Retrofitting Guide*
- *Iowa Weatherization General Appendix*
- *NEAT Audit Manual*
- *MHEA Audit Manual*
- Various State Program Notices - issued as needed.

The SEP and HUD programs are not administered by the grantee. SEP is administered by Iowa Economic Development Association. HUD is administered by the Iowa Finance Authority.

V.8.2 Administrative Expenditure Limits

In accordance with 10 CFR 440.18(d), not more than 15 percent of the DOE grant will be used by the grantee and the subgrantees for administration of the DOE funds. Also, not more than 7.5 percent of the grant will be used by the grantee for administration of DOE funds.

The State Energy Efficiency Programs Improvement Act of 1990 permits grantees the option of providing subgrantees who receive grants of less than \$350,000 up to an additional 5 percent in administrative funds. Every subgrantee has the same core team of administrative personnel and expenses. In order for every subgrantee to meet the cost of the core administrative functions, each of the eligible 12 subgrantees will receive up to 5% additional administrative funds in order to properly administer the program.

V.8.3 Monitoring Activities

Iowa Weatherization monitoring staff include:

- Technical Monitors
 - Two full-time QCI inspectors on staff and two open full-time positions
 - If needed, non-DOE funds will be used to meet monitoring requirements
- Administrative Monitors
 - One full-time administrative monitor
 - Primary job is to monitor subgrantees
 - If needed, non-DOE funds will be used to meet monitoring requirements
- Fiscal Monitors

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- One full-time WAP budget analyst
- Additional fiscal monitoring support is provided by Central Administration accounting staff who participate in the full on-site and desk monitoring reviews, which are paid by non-DOE funds
- In addition to annual full monitoring reviews, the intent is to conduct periodic reviews of sub-grantee trial balance/ledgers against monthly expenditure reports throughout the year.
- All subgrantee expenditure reports/requests are compared against the associated technical data (measures installed) on a monthly basis prior to approval/payment.
- Approximately 48% of T&TA will be used to complete required monitoring. If needed, non-DOE funds will be used to meet monitoring requirements

Certificates or training for monitors:

- Technical monitors have the OSHA 30-hour training for Construction, Lead Renovator or Inspector certificate. Technical monitors are also certified Building Analyst (BA) Professionals, certified Energy Auditors (EA), QCI and Healthy Home Evaluator (HHE) Certified. They have attended various industry courses such as training on Manual J, building codes, and will receive continuing education as required to maintain certification. They attend at least one industry conference annually and are members of the WAP Trainers' Consortium.
- Administrative monitors have received training on Iowa Weatherization Policies and Procedures and technical requirements, purchasing guidelines, and 2 CFR Part 200 training. They attend at least one industry conference annually.
- Financial monitors have training in accounting and auditing, 2 CFR Part 200 requirements, 10 CFR Part 600 requirements, and *Iowa Weatherization Policies and Procedures*.

Monitoring is done to evaluate subgrantee programmatic and fiscal compliance and accountability of installation of weatherization with respect to program rules, regulations, policies and procedures and to ensure quality work with respect to the measures in dwellings. Technical assistance is provided to subgrantees as an integral part of monitoring. The technical monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized. Special emphasis is placed on problem areas noted in previous monitoring reviews or recently implemented program requirements. All agencies are, at a minimum, monitored annually. Additional visits are scheduled as necessary to track on-going issues.

When problems are noted, grantee staff attempt to make recommendations on how to correct the problem. Grantee staff discuss the problem areas directly with the weatherization staff or fiscal staff and/or the subgrantee director and give their recommendations for improvement. The monitors conduct an entrance interview, upon request, and an exit interview with agency staff and the agency director or designee.

If a subgrantee has continuing major issues identified by technical, administrative or fiscal monitoring, it may be determined to be "at-risk". In that case, the subgrantee would be notified in writing of that status and be required to submit, for grantee approval, a Corrective Action Plan outlining identified issues and steps to be taken to rectify the problems. A part of this plan would identify a time frame for all corrective actions to be completed. The subgrantee would also be required to submit, at a minimum, monthly updates on the progress of meeting the details of the Corrective Action Plan. Any at-risk subgrantee would be subject to additional monitoring until all identified issues are eliminated. Subgrantee staff may be required to take additional technical training or be provided one-on-one training by grantee technical staff.

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

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

Technical Quality Assurance Monitoring

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

The technical monitors conduct a final inspection of each completed unit using criteria that align with the quality specifications outlined in Section 1 of this WPN 22-4 which includes a review of the quality of the subgrantees' evaluations and inspections as well as the quality of the work that was completed on the house. Each house inspected will be reviewed for compliance with the following:

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

Monitoring reports are completed on each house and sent to the subgrantee within 30 work days of the date of the inspection. If the report requires corrective work by

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

the subgrantee, the corrective work must be completed within 45 days of receiving the report. The subgrantee must send a written response to the grantee documenting that all the corrective work was completed, or reasons why it could not be completed. If serious quality of work problems are found, the grantee may inspect up to 100% of a subgrantee's production until work quality improves. Funding to the subgrantee may also be suspended until proper remedies have taken place.

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

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

Monitoring of Administrative Operations

The monitoring of administrative operations is performed on-site and/or remotely. Limited focused administrative monitoring may also be conducted. Comprehensive monitoring will be conducted at each subgrantee at least annually. Administrative monitoring tools are attached to the SF-424.

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

- Review of client/house and contractor files to ensure compliance with documentation of eligibility and other requirements
- Review of client/house files to ensure units are inspected prior to reported as complete
- Review of client/house files to ensure a completed inspection report is present
- Review of NEAT Audit reports
- Review of required health and safety documentation
- Review of contracts to ensure compliance with requirements
- Review of contractor insurance coverage
- Review of subgrantee weatherization procurement procedures
- Determination of compliance with client priority and client service by county
- Review of timeliness and accuracy of monthly fiscal and data reports
- Review of equipment and inventory
- Review of the procedures for rental properties
- A minimum of 5% of files will be reviewed
- Review of general management and administrative practices
- Review of employee/contractor credentials, training certificates and licensing to assure compliance with requirements.

Grantee monitoring staff will conduct an exit interview with the subgrantee to discuss observations and findings from the review. Written monitoring reports will be sent to the subgrantee within 30 work days of the review being completed. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the program monitoring report requires a response, the subgrantee must respond, in writing, to the grantee within 45 days of receiving the report. A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the DOE Project Officer describing the problems at the agency. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the grantee to final resolution.

Monitoring of Financial Operations

Each monitoring review will be performed on-site and/or remotely. In-house fiscal monitoring consists of reviewing subgrantees' monthly fiscal reports and their most recent annual financial audits. Financial monitoring consists of reviewing fiscal operations for compliance with rules and procedures. Each agency is monitored annually. Fiscal monitoring will include, at a minimum, the following:

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

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

In addition to annual full monitoring reviews conducted by the grantee fiscal monitors as well as one of the central administrative accounting staff, the intent is to do

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

periodic reviews during the year, including ensuring trial balances and ledgers appear to be matching monthly reports. Thorough monthly expenditure reports and funding request reviews include ensuring the data matches what is reported to the grantee (the listing of measures installed on homes).

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

Subgrantee Assessment

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

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

V.8.4 Training and Technical Assistance Approach and Activities

The Grantee believes training and technical assistance (T&TA) play a major role in developing and maintaining a quality weatherization program. Due to the evolutionary and complex nature of residential energy efficiency and the turnover in Subgrantee staff and contractors, training and technical assistance must be provided on an ongoing basis.

The Grantee uses a variety of approaches in providing training and technical assistance to the Subgrantees. Meetings are held to discuss administrative, fiscal, program, and technical issues. Technical training is provided at formal training sessions and onsite. Grantee staff attend the Subgrantee program manager and fiscal officer meetings to discuss program, technical, and fiscal issues. Grantee staff provide technical assistance during onsite monitoring and house inspections. All of these approaches have proven to be effective in providing training and technical assistance to the Subgrantees.

Individual Subgrantee training needs identified by performance monitoring will be met by either one-on-one training or small group sessions targeting those weak areas. These sessions will either be done by inhouse training staff or by bringing in outside trainers to meet the needs of the Subgrantees.

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

The Grantee remains proactive in industrywide initiatives, often moving to adopt new initiatives before required.

Training and Technical Assistance Needs Assessment

The following methods are used to assess Subgrantee technical assistance and training needs:

- Subgrantees are asked to identify statewide and individual Subgrantee technical and administrative training needs during the annual monitoring visits and group meetings.
- Inhouse and onsite program and fiscal monitoring of the Subgrantees is used to identify administrative, programmatic, and fiscal technical assistance and training needs.
- Onsite inspections of completed homes are used to identify technical training needs.
- Monitoring the productivity of Subgrantees is used to identify agency specific technical or programmatic technical assistance needs.
- Annual evaluations of the Iowa Weatherization Program are used to identify technical training needs.
- A technical needs assessment is conducted each program year during the grant period to identify needed training. This assessment will be done by the Grantee and may be done in conjunction with the Iowa Community Action Association (ICAA) or another third party. The most recent training and technical needs assessment was done in December 2023 in conjunction with ICAA.

Overall Training and Technical Assistance Plan

The training of Subgrantees is done through Subgrantee Specific training and also through regional or statewide training sessions. The Grantee's policy, with respect to technical training, is to be responsible for all training for energy auditors by either providing the training directly or training is provided by an outside trainer(s). The Standard Work Specifications will be incorporated into the training provided to Subgrantee energy auditors and inspectors. The Grantee believes this practice best assures the standardization of weatherization procedures and practices throughout the state.

Subgrantees will be allocated DOE T&TA funds to attend various weatherization related conferences and meetings. The funds will be used for registration, travel, meals, staff salaries and fringe, and lodging to attend. The T&TA funds may also be used to pay for testing fees for those Subgrantee staff attempting to obtain Home Energy Professionals (HEP) certifications. The Grantee also provides Subgrantees with non-DOE funds that can be used for crew/contractor training and to obtain other weatherization-related training. These funds will also be used to provide additional training/testing for Energy Auditor (EA)/QCI certification as needed.

The Grantee meets with Subgrantee administrative staff on a regular basis to review programmatic changes and discuss program needs. The Grantee also works with Subgrantee administrative fiscal staff on the program requirements and expectations. Most Subgrantee weatherization programs do not have dedicated fiscal staff but

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

rely on the administrative fiscal department for all financial support. The Grantee trains Subgrantee weatherization staff who work with the reporting system including customer file requirements, data entry, balancing each completion to invoices paid and completing monthly financial reports.

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

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

Training – Grantee

- Administrator Training
 - The WAP program administrator is encouraged to attend trainings and conferences. Examples include:
 - WIPFLI conferences and webinars
 - CAPLAW webinars
 - Iowa Community Action Association (ICAA) Conference (annual)
 - Home Energy Performance (HEP) Regional and National Conferences
 - Energy Out West Conference
 - National Association for State Community Services Programs (NASCSPP) conferences and webinars
 - DOE-sponsored trainings and webinars
- Fiscal Training
 - Fiscal monitors receive on-going training as part of their day-to-day job on the following:
 - 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 10 CFR Part 600, DOE Financial Assistance Rules
 - *Iowa Weatherization Policies and Procedures Manual*
 - *Iowa Weatherization General Appendix*
 - State and local requirements and guidance
 - Fiscal monitors have access to the:
 - *Iowa Weatherization Policies and Procedures Manual*
 - *Iowa Weatherization Work Standards Manual*
 - *Iowa Weatherization Retrofitting Guide*
 - *Iowa Weatherization General Appendix*
 - *Weatherization Automated Management System (WAMS) Instruction Manual*
 - Written correspondence from the Bureau of Weatherization
 - Written correspondence from the DOE and partners, as applicable
 - Fiscal monitors are encouraged to attend trainings and conferences. Examples include:
 - WIPFLI conferences and webinars
 - CAPLAW webinars
 - Iowa Community Action Association (ICAA) Conference (annual)
 - NASCSPP Conference and webinars
 - DOE-sponsored trainings and webinars
 - DOE issued Program Notices, Memorandums and other guidance
- Programmatic Monitor Training
 - Programmatic monitors assist in revising the following documents on an annual basis and therefore receive on-going training on:
 - *Iowa Weatherization Policies and Procedures Manual*
 - *Iowa Weatherization Work Standards Manual*
 - *Iowa Weatherization General Appendix*
 - *Weatherization Automated Management System (WAMS) Instruction Manual*
 - Written correspondence from the Bureau of Weatherization
 - DOE issued Program Notices, Memorandums and other guidance
 - 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and 10 CFR Part 600, DOE Financial Assistance Rules
 - Programmatic monitors have access to:
 - Grantee QCI field inspection reports and correspondence with Subgrantees
 - Fiscal reports and spreadsheets
 - Programmatic monitors are encouraged to attend trainings and conferences. Examples include:
 - ICAA Conference (annual)
 - HEP Regional and National Conferences
 - Energy Out West Conference

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- WIPFLI conferences and webinars
- DOE-sponsored trainings and webinars
- Technical Monitor Training
 - Grantee technical monitors assist in revising the following documents on an annual basis and there received on-going training on the:
 - *Iowa Weatherization Policies and Procedures Manual*
 - *Iowa Weatherization Work Standards Manual*
 - *Iowa Weatherization General Appendix*
 - *Weatherization Automated Management System (WAMS) Instruction Manual*
 - Written correspondence from the Bureau of Weatherization
 - Written correspondence from the DOE and partners, as applicable
 - Grantee technical monitors have access to:
 - Administrative programmatic monitoring reports and correspondence with Subgrantees
 - Fiscal reports and spreadsheets
 - Grantee technical monitors are encouraged to attend trainings and conferences. Examples include:
 - ICAA Conference (annual)
 - HEP Regional and National Conferences
 - Energy Out West Conference
 - DOE-sponsored trainings and webinars
 - ASHRAE webinars
 - Grantee technical monitors have the required training below. If they do not adhere to this requirement, they will be prohibited from performing grantee QCI activities until such time as they meet the requirement.
 - Lead Renovator Certification
 - QCI Certification

Training – Subgrantee

- Administration/Fiscal
 - Specific Training
 - Subgrantee administration and fiscal staff are not required to attend Specific training unless expressly stated. As identified through monitoring, monthly submission of expenditure reports, funding requests, and on-going communication, training will be provided to address weak areas at Subgrantees. These could include administrative training for Subgrantee weatherization office staff, training Subgrantees to use the database properly, etc.
 - Staff is encouraged to attend trainings and conferences. Examples include:
 - WIPFLI conferences and webinars
 - CAPLAW webinars
 - Iowa Community Action Association (ICAA) Conference (annual)
 - NASCSP Conference and webinars
- Energy Auditors/Inspectors
 - The Grantee does not require certification of Subgrantee energy auditors or inspectors prior to hire.
 - Required Certifications
 - Lead Safe Renovator Certification
 - Energy Auditor certification, as required to obtain QCI certification
 - QCI certification, as required to perform final inspections on homes
 - Specific Training
 - All energy auditors/inspectors are required to have the following Specific Grantee-provided trainings. Subgrantee staff who do not attend Grantee-mandated training when offered, must demonstrate to the Grantee their proficiency in the specific work detail. The classes are offered at least once each program year and are scheduled as needed. The required training is provided one-on-one if needed. When not provided by the Grantee, Subgrantees will be required to take Specific Training through an IREC-accredited WAP training center. Subgrantees will be required to submit certificates of completion to demonstrate compliance with training requirements. Each year, the Grantee will evaluate whether Subgrantees have received required training, whether they are performing WAP work as expected, and whether additional training is needed. If additional training is needed, Subgrantees will be required to attend Grantee-provided training, one-on-one training with the Grantee, or training offered through an IREC-accredited WAP training center.
 - Basic Energy Auditor
 - NEAT and MHEA Audit
 - Mold/Moisture/Ventilation/ASHRAE 62.2
 - Advanced Blower Door/Zonal Pressure Diagnostics
 - Furnace/Combustion Health & Safety
 - Trainings may also include:
 - Topics identified during monitoring visits
 - Energy modeling clarifications or concerns
 - Training workers to conduct customer education on, among other things: energy saving strategies, what to expect during the

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- weatherization process, providing the Asbestos in Homes handout anytime materials with presumed asbestos are present in the home along with explaining next steps, and providing and explaining health and safety related customer education
 - Protocol where asbestos may pose a health threat to weatherization workers and customers
 - ASHRAE requirements
 - Lead safe work practices
 - Causes and remedies of mold and moisture issues
 - Other health and safety topics described in the Health & Safety Plan
 - Attending local and national conferences
- During monitoring and daily correspondence, weak areas may be identified at a Subgrantee. In these cases, one-on-one training will be provided to address the area of concern. The Grantee also provides one-on-one sessions for Subgrantee staff preparing to complete the field test for EA/QCI certification, which helps ensure field staff are maintaining required credentials.
- Comprehensive Training
 - Subgrantee staff performing EA and/or QCI activities are required to obtain Comprehensive training as outlined in WPN 22-4. The Grantee provides Subgrantees with T&TA funds for staff to obtain either EA and/or QCI, as well as refresher courses. Any remaining allocated T&TA funds may be used by Subgrantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences.
- Staff is encouraged to attend trainings and conferences. Examples include:
 - ICAA Conference (annual)
 - HEP Regional and National Conferences
 - Energy Out West Conference
 - NASCSP Conference and webinars
- Crews/Contractors
 - The Grantee does not require certification of Subgrantee crews or contractors prior to hire.
 - Subgrantee crews and contractors are required to provide to the Subgrantee (as applicable for the type of work they perform), the documentation below, which is verified and recorded at least annually during administrative programmatic monitoring. Failure to present the required documentation results in a finding and possible discontinuation of work until said documentation is provided to the Subgrantee.
 - Lead Renovator Certification
 - Lead Firm Certification
 - Appropriate Plumbing & Mechanical Licensure
 - Appropriate Electrical Licensure
 - Specific Training
 - Subgrantees crews and contractors are not required to attend Grantee-provided Specific trainings.
 - Comprehensive Training
 - Subgrantee crews are not required to attend Comprehensive training; however, crew-based Subgrantees will be able to provide Crew Leader and Retrofit Installer training to those individuals. Any remaining allocated T&TA funds may be used by Subgrantees to provide training for necessary CEU's, new employee training in energy auditor standards or weatherization related conferences. Subgrantees determine the need for comprehensive training and are responsible for ensuring required training is obtained, which is monitored by the Grantee.
 - Although Subgrantee contractors are not required to attend Comprehensive training, the Grantee will work with Subgrantees to develop policies which meet all requirements outlined in the application instructions allowing contractors at the Subgrantee level to receive Comprehensive training. If a contractor is interested in the Comprehensive training (usually the Retrofit Installer training), a retention agreement will be required and a reimbursement rate will be negotiated. The retention agreement should require that contractors will work in the Program for a specific amount of time that equates to the value of the costs associated with the T &TA provided. Once these policies are established, they will be submitted to the DOE Project Officer for approval.

By definition, Comprehensive Training must be administered by, or in cooperation with, a training program that is accredited by a DOE-approved accreditation organization for the Job Task Analysis (JTA) being taught. In order to meet this requirement, Subgrantees work with IREC-accredited WAP training centers to provide the training. A nearby IREC-accredited training center provides training in Iowa, which lessens the burden on the Subgrantees. The Grantee is exploring other IREC-accredited WAP training center partnerships as well. ICAA hosts an annual conference at which we anticipate bringing in an IREC-accredited trainer to provide training to Iowa Subgrantees each year throughout the life of the grant.

Annually, Grantee conducts an information training/meeting for all Subgrantee program directors, energy auditors and inspectors to go over program changes including health and safety, standards/field guide and policies.

Technical Assistance

Technical assistance is provided to Subgrantees during onsite visits, at Grantee meetings, at Subgrantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins.

Grantee staff meet with new Subgrantee program administrative staff to provide training and review all requirements of the program.

All Subgrantee program staff (including fiscal) are encouraged to take advantage of available conferences and online training opportunities.

Technical assistance, including support for health and safety activities, is provided throughout the year by all Grantee weatherization staff through phone calls and

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

emails with Subgrantees. One-on-one training is provided in-person and remotely via Google Meet, Zoom, or other another platform as appropriate. Should the Grantee weatherization staff need additional input from a third party regarding an issue at-hand, they will connect with resources such as NASCSP, CAPLAW, WIPFLI, DOE, NREL, and Oakridge National Laboratory.

A technical needs assessment will be conducted each program year during the grant period to identify needed training which will be provided to the network. This assessment will be done by the Grantee and may be done in conjunction with the Iowa Community Action Association.

The grantee utilizes a weatherization website as a way of providing technical assistance to the Subgrantees. In addition to containing statewide program information and materials, the website also contains examples of Subgrantee internal management tools that other Subgrantees may want to use.

Feedback from DOE monitoring visits, internal state audits, Grantee monitoring of the Subgrantees, Inspector General reports, American Consumer Satisfaction Index feedback, training feedback from the Subgrantees and partners such as ICAA, and risk assessment reviews from the previous program year will be used to determine if any Subgrantee-specific training is required. The annual evaluation that is conducted for the Iowa Weatherization Program each year which examines energy savings and other valuable data also informs the development of T&TA activities. See Section V.6 for the data evaluated in the annual evaluation.

Grantee staff will also be working with Subgrantees to transition the current energy audit (WA 8.9) to the newest release of WAweb by April 1, 2024.

Customer Education

Subgrantees provide customer education when they go to customers' homes. Energy education is done by Subgrantees during home energy audits and inspections. Crews/contractors also provide customer education if the opportunity presents itself.

Subgrantee Productivity and Energy Savings

The Grantee collects and monitors Subgrantee productivity on a monthly basis. Concerns about productivity with specific Subgrantees are discussed with those Subgrantees. The Grantee conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each Subgrantee. Results of the productivity monitoring and the annual energy savings analysis (see Section V.6) are used to determine Subgranteespecific training and technical assistance needs.

Effectiveness of Grantee T&TA Activities

The effectiveness of T&TA activities is determined through feedback on technical training, discussions with program and fiscal monitoring staff, discussions with home inspectors, and feedback from Subgrantees during onsite visits and Grantee meetings.

QWP Implementation

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

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

Percent of overall trainings

Comprehensive Trainings:	57.0
Specific Trainings:	43.0

Breakdown of T&TA training budget

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

V.9 Energy Crisis and Disaster Plan

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

In order for a dwelling to be eligible for assistance under this disaster relief plan, it:

- Must be occupied by an eligible household.
- Must be located in a county that has been designated by the Governor or by the President as being a disaster area.
- Must be a habitable structure.

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: EE0009902, State: IA, Program Year: 2024
Recipient: State of Iowa

- Was an in-progress unit at the time of the disaster where already installed materials were damaged or destroyed by the disaster or was a unit that was previously weatherized by the program. For purposes of this plan, previously weatherized homes may be re-weatherized without regard to the date of the original weatherization. Disaster assistance is only available for a period of one year after the disaster declaration has been made.
- FEMA funds and/or insurance payments, if available, have been applied to the repair of the dwelling, including the repair or replacement of any materials or mechanical equipment that weatherization funds normally cover.

Walk Away

Some disaster-affected dwellings may be beyond the scope of the program due to structural integrity issues, extent of damage, health and safety risks or other reasons described in the *Iowa Weatherization Program's Policies and Procedures* manual. Subgrantees may have to walk away from such dwellings or defer assistance until the problems/issues have been addressed.

Priority Service

Disaster-damaged homes meeting the criteria listed above may be given priority over other eligible dwellings at the discretion of the subgrantee.

Eligible Activities

All dwellings must have an energy audit performed (NEAT Audit for single family dwellings) to determine which of the following activities are needed.

- Limited clean-up in those areas of the dwelling where weatherization and/or health and safety materials will be installed. Costs for this activity must be entered in the NEAT Audit and included in the NEAT Audit's savings to investment calculation. Clean-up activity will only be allowed if the audit's cumulative savings to investment ratio is 1.0 or greater. Allowable clean-up costs will be charged as Incidental Repairs.
- Removal of previously installed weatherization and/or health and safety materials that are damaged beyond repair, and will be replaced as part of the current activity.
- Installation of weatherization materials called for by the energy audit or allowed by the Iowa Weatherization Program.
- Repair or replacement of mechanical systems and appliances, including but not limited to, heating units, water heaters, and refrigerators.

Work Quality

All work must be completed according to the *Iowa Weatherization Program's Work Standards*, as well as building, mechanical or other relevant codes. No unit will be counted as complete until all materials are installed in a quality manner and have passed a final inspection by subgrantee staff.

Coordination with Other Funds

It is expected that weatherization activities will be coordinated with other funded activities to the maximum extent practicable. This will not only help make the most prudent and non-duplicative use of all funds, but will also help to ensure that service to eligible households will be maximized. However, weatherization funds will not be used to supplant other funds such as FEMA and insurance dollars, which must be applied first in renovating disaster-damaged dwellings.

Costs

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

Tracking/Reporting

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