

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		2. Type of Application: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision		If Revision, select appropriate letter(s) Other (specify):	
3. Date Received 02/01/2019			4. Applicant Identifier:		
5a. Fed Entity Identifier:			5b. Federal Award Identifier: DE-EE0007910		
State Use Only:					
6. Date Received by State:			7. State Application Identifier: SAI000003037		
8. APPLICANT INFORMATION:					
a. Legal Name: Delaware Division of Climate, Coastal, & Energy					
b. Employer/Taxpayer Identification Number (EIN/TIN): 516000279			c. Organizational DUNS: 101939978		
d. Address:					
Street 1: 89 Kings Highway					
Street 2:					
City: Dover					
County: KENT County					
State: DE					
Province:					
Country: U.S.A.					
Zip / Postal Code: 199010000					
e. Organizational Unit:					
Department Name: Natural Resources & Environmental Control			Division Name: Division of Climate, Coastal, & Energy		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix: Mr		First Name: Robert			
Middle Name: J					
Last Name: Zimmerman					
Suffix:					
Title: Chief Operating Officer					
Organizational Affiliation: Delaware DNREC					
Telephone Number: 3027399908			Fax Number:		
Email: Robert.Zimmerman@delaware.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-0002019

Title:

2019 Weatherization Assistance Program

13. Competition Identification Number:

Title:

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

State of Delaware (Statewide)

15. Descriptive Title of Applicant's Project:

Delaware Weatherization Assistance Program

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: Delaware At-Large Congressional District

b. Program/Project: DE-Statewide

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

17. Proposed Project:

a. Start Date: 04/01/2019

b. End Date: 03/31/2020

18. Estimated Funding (\$):

a. Federal	717,370.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	717,370.00

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 01/17/2019
- 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: Mr First Name: Robert

Middle Name: J

Last Name: Zimmerman

Suffix:

Title: Chief Operating Officer

Telephone Number: 3027399908

Fax Number:

Email: Robert.Zimmerman@delaware.gov

Signature of Authorized Representative: Signed Electronically

Date Signed: 04/17/2019

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007910		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Delaware Division of Climate, Coastal, & Energy 89 Kings Highway Dover, DE 199010000	4. Program/Project Start Date		04/01/2019
	5. Completion Date		03/31/2020

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	\$ 186,000.00		\$ 717,370.00		\$ 903,370.00
2.						
3.						
4.						
5. TOTAL		\$ 186,000.00	\$ 0.00	\$ 717,370.00	\$ 0.00	\$ 903,370.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRA TION	(2) SUBGRANTE E ADMINISTRA	(3) GRANTEE T&TA	(4) SUBGRANTE E T&TA	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
c. Travel	\$ 0.00	\$ 0.00	\$ 2,400.00	\$ 0.00	\$ 2,400.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 5,170.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 5,170.00
f. Contract	\$ 20,000.00	\$ 46,567.00	\$ 67,973.00	\$ 86,120.00	\$ 895,800.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 25,170.00	\$ 46,567.00	\$ 70,373.00	\$ 86,120.00	\$ 903,370.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 25,170.00	\$ 46,567.00	\$ 70,373.00	\$ 86,120.00	\$ 903,370.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007910		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Delaware Division of Climate, Coastal, & Energy 89 Kings Highway Dover, DE 199010000	4. Program/Project Start Date 04/01/2019		
	5. Completion Date 03/31/2020		

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		\$ 186,000.00	\$ 0.00	\$ 717,370.00	\$ 0.00	\$ 903,370.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) FINANCIAL AUDITS	(4) LIABILITY INSURANCE	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 2,400.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 5,170.00
f. Contract	\$ 573,388.00	\$ 81,000.00	\$ 14,152.00	\$ 6,600.00	\$ 895,800.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 573,388.00	\$ 81,000.00	\$ 14,152.00	\$ 6,600.00	\$ 903,370.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 573,388.00	\$ 81,000.00	\$ 14,152.00	\$ 6,600.00	\$ 903,370.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: Delaware Division of Climate, Coastal, & Energy
Award number: EE0007910

Budget period: 04/01/2019 - 03/31/2020

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

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

Position	Description of Duties of Professionals
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Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
	\$0.00		

2. FRINGE BENEFITS

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

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

3. TRAVEL

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

Purpose of Trip	Number of Trips	Cost Per Trip	Total
To attend DOE sponsored (or other weatherization related conferences and courses), including DOE training, and annual conferences (NASCSP and Home Performance Coalition). Two persons to approximately 2 trips at estimated \$1200/pp/trip	2	\$1,200.00	\$2,400.00
		Travel Total	\$2,400.00

- 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.

Conference registration \$400
Airfare/Travel \$350
Hotels and per diem \$450

There are some remaining funds in this category from the 2018 award that will also be used.

The link to the State of Delaware merit rules for travel:

<https://budget.delaware.gov/accounting-manual/documents/chapter11.pdf>

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

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

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

General Category	Cost	Justification of Need
Misc supplies	\$5,170.00	Misc supplies for office work, including paper, printer ink, mailing materials, brochures, etc.
Materials and Supplies Total	\$5,170.00	

- 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.

All supplies are purchased off state contract - negotiated by the division of Government Support Services. All costs and contracts are available on their website at delaware.gov

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*
Hancock Software	\$17,548.00	Grantee T&TA - portion of the annual maintenance fee for the WAP database.
Catholic Charities (Subgrantee)	\$370,681.00	Program operations (\$257,822), Health & Safety (\$37,200), T&TA (\$42,000), Subgrantee Admin (\$23,283), Liability Insurance (\$3,300), Audit fees (\$7,076)
Contracted State Monitor Position	\$43,425.00	A portion of the total contract for the State Monitor (25%)
Training	\$7,000.00	Grantee T&TA - Expected costs for three Grantee staff to receive training and certification expenses.
Misc Contracts	\$4,000.00	Grantee Admin - costs for phones, court reporters, legal notices, copier maintenance, printing, legal support costs, etc.
Res State Street Com	\$16,000.00	Grantee Admin - Rent for Weatherization Office space

Energy Coordinating Agency (Subgrantee)	\$437,146.00	Program Operations (\$315,566), Health & Safety (\$43,800), T&TA (\$44,120), Subgrantee Admin (\$23,284), Liability Insurance (\$3,300), Audit Fees (\$7,076)
Contracts and Subgrants Total	\$895,800.00	

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

8. INDIRECT COSTS

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

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

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

Name:

Phone Number:

U.S. Department of Energy
BUDGET INFORMATION REMARKS

(Grant Number: EE0007910)

Remarks

Personnel and Fringe are budgeted at zero in this grant. No travel is budgeted for the required monitoring because the state is small and does not require overnight stays. The Delaware WAP uses a contractual hire to fulfill the monitoring requirements. An amount of \$45,425 has been allocated in this grant to pay a portion of the State Program Monitor's salary. All other Grantee staff salaries are paid through state funds.

The State of Delaware A-133 single audit is located at: <https://auditor.delaware.gov/wp-content/uploads/sites/40/2018/12/State-of-Delaware-Comprehensive-Annual-Financial-Report-June-30-2018-1.pdf>

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

(Grant Number: EE0007910, State: DE, Program Year: 2019)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Catholic Charities (Wilmington)	\$370,681.00 35
Energy Coordinating Agency (Philadelphia)	\$437,146.00 45
Total:	\$807,827.00 80

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	80
Reweatherized Units	0

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

Average Unit Costs, Units subject to DOE Project Rules		
<i>VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	80
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	80
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<i>AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
F	Total Funds for Program Operations	\$573,388.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	80
H	Average Program Operations Costs per Unit (F divided by G)	\$7,167.35
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,167.35

IV.3 Energy Savings

Method used to calculate savings: <input type="checkbox"/> WAP algorithm <input checked="" type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	80	N/A	1146 *
Prior Year Estimate	52	N/A	927 *
Prior Year Actual	61	N/A	1226 *
* Energy Savings values were manually entered.			
Method used to calculate savings description:			
<p>Delaware contracted for a third party consultant to utilize Delaware utility data of the weatherization clients to develop a methodology to calculate energy savings. As part of this methodology, the consultant looked at the Delaware-specific measures used in each of the homes and distinguished between fossil fuel-heated homes and electric-heated homes. The savings provided represent the projected savings in 2019 and for last year, 2018.</p>			

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

(Grant Number: EE0007910, State: DE, Program Year: 2019)

IV.4 DOE-Funded Leveraging Activities

IV.5 Policy Advisory Council Members

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

Bill Lietzinger	Type of organization: Unit of State Government Contact Name: Phone: 3027444811 Email: William.Lietzinger@delaware.gov
Brad Whaley	Type of organization: Unit of Local Government Contact Name: Phone: 3028557777 Email: bwhaley@sussexcountyde.gov
Chrystal DiGiore	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: (302)472-0764 Email: Chrystal.Kirby@USE.SalvationArmy.Org
Cynthia Ventresca	Type of organization: Utility Contact Name: Phone: 3024544015 Email: Cindy.Ventresca@pepcoholdings.com
Darrell Wilson	Type of organization: Utility Contact Name: Phone: 4105485515 Email: dwilson@chpk.com
Liosa Locke	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 3025819007 Email: llocke@delawareipl.org
Paul Calistro	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: (302)658-4171 Email: pcalistro@westendnh.org
Susan Eliason	Type of organization: Unit of State Government Contact Name: Phone: 3027394263 Email: susane@destatehousing.com

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
01/09/2019	The Public Hearing was held on 1/9/19 and the transcript of the hearing is attached to the SF-424. The addition of the new Subgrantee, Energy Coordinating Agency, was announced again this year as part of the Public Hearing.

IV.7 Miscellaneous

<p>The estimated carryover funds are \$186,000 due to the low production of a new Subgrantee. There is over a 3% increase in the H&S only because of having to carry over \$20,000 in this category. The carryover explanation has been attached to the SF-424.</p> <p>The Grantee had determined that better communication with the Subgrantee was necessary based on the results of the ACSI Survey (2017). The Grantee set up regular face-to-face meetings with the Subgrantee (Catholic Charities) to improve communication. These meetings occurred monthly during the timeframe of June-September 2017. The topics covered at each monthly meeting aligned with the ACSI Survey:</p> <p>Communication – the usefulness about work plans/performance/monitoring</p> <p>Communication - Clarity</p>
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U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007910, State: DE, Program Year: 2019)

Responsiveness of DNREC staff to information requests

Consistency of responses received

The Grantee continues to schedule face-to-face meetings to ensure that the communication continues to improve.

The most recent T&TA Report was submitted on 5/31/18; the next report will be submitted on or before 5/31/19.

Robert J. Zimmerman will serve as the Business Officer and Principal Investigator for this grant. He can be reached at (302) 739-9008 or Robert.Zimmerman@delaware.gov

DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: DE Grant Number: EE0007910 Program Year: 2019

Name:	Catholic Charities	Contact:	Fritz Jones	
		DUNS:	125160754	
Address:	2601 W. 4th St. Wilmington, DE 19805-0000	Phone:	(302) 655-9624	
		Fax:	()-	
		Email:	fjones@ccwilm.org	
Counties served:	SUSSEX County KENT County	Tentative allocation:	\$ 370,681.00	Congressional districts served: <u>CD</u>
		Planned units:	35	DE-00
		Type of organization:	Non-profit organization	
		Source of labor:	Contractors	

Name:	Energy Coordinating Agency	Contact:	Steve Luxton	
		DUNS:	153773379	
Address:	106 West Clearfield Street Philadelphia, PA 19133-0000	Phone:	(215) 988-0929	
		Fax:	(215) 988-0919	
		Email:	stevel@ecasavesenergy.org	
Counties served:	NEW CASTLE County	Tentative allocation:	\$ 437,146.00	Congressional districts served: <u>CD</u>
		Planned units:	45	DE-00
		Type of organization:	Non-profit organization	
		Source of labor:	Agency and Contractors	

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

(Grant Number: EE0007910, State: DE, Program Year: 2019)

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

The State of Delaware defines eligibility for weatherization assistance as follows: A dwelling shall be eligible for weatherization assistance if it is occupied by a family whose income is at or below 200% of poverty level as determined and established by the Director of the Office of Management and Budget (OMB), and as specified in 10 CFR 440.22(a). The application eligibility expires 12 months from the certification date if work on the dwelling unit (energy audit) has not been initiated. DNREC does not recognize clients as being "categorically eligible" for weatherization. The Subgrantee, Catholic Charities, provides intake services for the LIHEAP Fuel Assistance and recommends clients to continue to process their information for eligibility in the WAP. If the client resides in New Castle County, Catholic Charities refers the client to the New Castle County Subgrantee, Energy Coordinating Agency.

Native Americans are served in the general population and will be eligible to receive benefits equivalent to assistance provided to other low income persons within the State.

Interested persons wishing to apply for the program must apply in person to the Subgrantee, who conducts the intake process to determine eligibility.

Verification of eligibility is monitored by the State through an online review of documentation in the State's WAP Online system. Periodic, random reviews occur using the Online system that assesses the client eligibility documents prior to any weatherization work being initiated.

This is a link to the Delaware WAP Manual:

<http://de.gov/wap> and click on "Resources for Professionals"

Describe what household eligibility basis will be used in the Program

As per 10 CFR 440.22 Eligible dwelling units, the dwelling unit is eligible for assistance if it is occupied by a family unit:

that is eligible for assistance under the Low Income Home Energy Assistance (LIHEAP) Act of 1981, provided that the income eligibility level is at least at 200% of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget. In the case when a client does not qualify for LIHEAP, but they are still eligible for weatherization, the client intake worker still compares the income against the WAP eligibility requirements. The clients are then referred to the intake location for WAP. In the case where a client does not choose to participate in LIHEAP, they are referred to the client intake for just WAP. There are only three locations for WAP intake in Delaware, and the clients are directed to the location in the county in which the residence is located.

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

Delaware's eligibility criteria are in compliance with Federal requirements. Services are provided only to U.S. citizens or qualified aliens, as defined in section 431 of Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA). Qualified aliens are eligible to receive assistance and services under the WAP program so long as they meet all other WAP program requirements.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

DNREC requires that the Subgrantees maintain client files in our WAP OnLine database and tracking system that document client and building eligibility. Client files are available electronically to DNREC for program evaluation and monitoring purposes. The Subgrantee auditors review client files and the building upon the initial home energy audit to ensure that the structure complies with the WAP federal guidelines. State staff will monitor files and check application dates to ensure that clients received services during the period of eligibility within one year of their application.

- Owner documentation - website de.gov/wap under Eligibility Guidelines

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

(Grant Number: EE0007910, State: DE, Program Year: 2019)

- Income documentation for renters - website de.gov/wap under Required Documentation
 - Landlord Agreement is provided as an attachment to the SF-424

Describe Reweathering compliance

The Subgrantees are responsible for cross-checking all eligible households with the updated database of units that have been weatherized after September 30, 1994 so that no units weatherized after September 30, 1994 receive additional services as per 10 CFR 6865(c)(2). DNREC maintains a database of previously weatherized units and has made it available to the Subgrantees, this list is referred to as the "Legacy List". The combination of the Legacy List and the WAP Online database of clients is the comprehensive list of all units weatherized in Delaware after September 30, 1994.

Describe what structures are eligible for weatherization

Single family residential (stick built and mobile homes) are eligible, as are duplexes or other structures with four or less units per building structure. Included in this definition are rowhomes and townhouses and other similar structures.

Delaware will be cautious with respect to non-traditional housing stock (shelters, apartments over businesses, non-stationary dwellings, etc.), making sure that all units weatherized meet eligibility requirements. Where any question on eligibility arises, we will consult with our DOE Project Officer.

Multi-family structures are eligible under the Delaware program for WAP services where 66% or more of the multi-family unit residents are eligible for services (50% for duplex's and units with four or fewer units) as per 65 Fed. Reg. 77210, Dec. 8,2000. Delaware may also weatherize multi-family buildings preapproved by HUD and DOE as eligible projects under HUD DOE MOU executed in 2010.

In such circumstances where a dwelling unit is located in a disaster area, the Grantee will refer to the procedures contained in WPN 12-7.

For Historic Structures, DNREC has an executed agreement with the Delaware State Historic Preservation Office dated August 2010 located at the Department of Energy's website:

https://energy.gov/sites/prod/files/2014/01/f7/state_historic_preservation_programmatic_agreement_de.pdf

Describe how Rental Units/Multifamily Buildings will be addressed

Rental units are eligible providing that the Subgrantee has obtained written authorization from landlords/building owners and said landlords agree to the stipulation regarding rent increases in the Landlord Agreement form. The Delaware WAP Manual contains the policy for renters and the Landlord Agreement form as an appendix to the manual (which is in adherence to 440.22 (b)(3) and 440.22 (c)-(e)). The Landlord Agreement is provided as an attachment. The policy for renters is located in the Delaware WAP Manual, Section 2.2.9 at de.gov/wap under Resources for Professionals.

In situations where we weatherize rental units, the Subgrantee is required to ensure that the benefits of the weatherization assistance accrue primarily to the low income tenants. No undue enhancement to the property should occur beyond the scope of energy conservation. Owners may not increase rent for a period of two years after completion of the unit's weatherization. Unless increases are demonstrably related to matters other than the weatherization work performed, the owner will have to repay the full cost of weatherization if rent is increased. Any dispute of the circumstances for a rent increase will be reviewed by the Subgrantee. The determination may also be reviewed by DNREC, if requested by the Subgrantee, landlord or tenant.

Landlords are not required to contribute toward the cost of weatherization. However, they may do so voluntarily. Work on the unit agreed to by the landlord does not affect any aspect of the unit cost or the program. Landlord financial contributions made to the Subgrantee for weatherization work performed are to be considered by the Subgrantee to be program income and as such, used for weatherization work costs.

Beginning in Program Year 2019, Delaware will consider weatherizing multifamily dwellings as allowed under WPN 11-4 providing state and Subgrantee staff are adequately trained in multifamily WAP techniques or adequate funding is available to secure qualified, contracted services. Priority will be given to identifying and providing weatherization assistance to: elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burden. Multi-family buildings, because of their size and character, may offer an opportunity to meet many of these priorities. When addressing "significant energy improvement" in multifamily dwellings, WAP will contact the DOE Project Officer and refer to the WPN 16-5 Multifamily Weatherization and WPN 16-6 Weatherization of Rental Units.

Describe the deferral Process

The deferral process is defined in our Deferral Policy which is provided as Section (5) in the Health and Safety Plan, the Health & Safety Plan is attached to this application with the SF-424.

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V.1.3 Definition of Children

Definition of children (below age): **18**

V.1.4 Approach to Tribal Organizations

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

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

In accordance with 440.16(f) the State requires that low-income members of an Indian tribe receive benefits equivalent to the assistance provided to other low-income persons within the state unless the applicant has made the recommendation provided in 10 CFR 440.12 (b)(5). In such case, the applicant shall provide a recommendation that a tribal organization be treated as a local applicant eligible to submit an application pursuant to 10 CFR 440.13(b).

V.2 Selection of Areas to Be Served

The entire State of Delaware is served by our Weatherization Assistance Program as described in this application. Continuing into PY 2019, DNREC holds two state contracts for weatherization Subgrantees. The contract award date was 01/09/18 where DNREC entered into contractual relationships with the Energy Coordinating Agency (New Castle County) and Catholic Charities (Kent and Sussex Counties).

DNREC ensures equal distribution of all WAP funds across all of Delaware's three counties (New Castle, Kent and Sussex) through contract provisions to ensure that we provide 50% of services to New Castle County (including the City of Wilmington) and 50% of services to Kent and Sussex counties, which is proportional to the distribution of the Delaware's population across the three counties.

V.3 Priorities

The State of Delaware's waiting list is comprised of eligible clients who have applied for the WAP program as described previously and is prioritized for families to receive weatherization services and to maximize energy saved. Prioritized categories include one or more of the following; elderly persons, disabled persons, households with children, households with high energy use and/or households with high energy burden as required by 10 CFR 440.16(b). DNREC coordinates a single database of eligible clients and a single, transparent, and objective process is used for prioritizing the client priority list. DNREC closely monitors the Subgrantees for adherence to the client priority list, which is integrated into our WAP On-Line database system. Additionally, DNREC monitors for compliance of intake procedures and client eligibility. The categories of high energy burden and high energy use are not being tracked in the WAP Online database and cannot be reported in the Quarterly Reports; yet the client intake worker can acknowledge the client in one of these categories and recommend for the client to receive priority. Owner occupied and renter occupied dwelling units have equal priority.

Re-application into the WAP is required if the dwelling unit has not begun services within 12 months of the certification date.

If a unit is otherwise eligible for WAP services, and is also receiving home services from other social service agencies, DNREC may elect to prioritize services to those units where interagency coordination may be advantageous in leveraging funding sources and where selected units meet Delaware's and DOE's priorities for providing services to the disabled, elderly, households with children and households with high energy use and burden. These leveraged opportunities have the potential to provide more comprehensive solutions to owners. At the beginning of PY19, DNREC will develop protocols to track clients with high energy use and burden.

V.4 Type of Weatherization Work to Be Done

V.4.1 Technical Guides and Materials

DNREC ensures homes weatherized in Delaware receive the highest quality of work to maximize energy savings and long-term efficiency. The Delaware Weatherization Program accomplishes this by maintaining a well trained staff to monitor work completed, as well as providing trainings for all weatherization staff, contractors, and their employees. To ensure that procedures are being properly applied, the Subgrantees receive administrative and technical training, along with field visits and enhanced training at the field site. State staff, Subgrantee staff, and contractors are trained to strictly adhere to the priority list and the State Field Guide and the Delaware Standard Work Specifications (SWS). At the time of this grant submission, the SWS and Delaware Field Guide were being completely revamped and submitted for final DOE approval. At the beginning of the 2019 program year on April 1, the new SWS (currently receiving approval) will also be the Delaware Field Guide. The current SWS and Field Guide are located on the WAP website at: de.gov/wap under Resources for Professionals. As of April 1, the new documents will be

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uploaded to the website.

The approved Delaware SWS is made available to all workers in the program through the Subgrantees and made available online. All technical requirements and specifications are included in our SWS/Field Guide, and every worker in the program has direct access to the SWS at every active weatherization site via the Crew Leader copy on site and digital access. Reference to the SWS is included in the contract between DNREC and the Subgrantee and the contract specifically calls for the Subgrantee and all contractors to follow the provision of the SWS/Delaware Field Guide. Upon signing the contract between the Subgrantee and the home performance contractor, the contractor is bound to adhere to the Delaware Standard Work Specifications/Field Guide, the Delaware Weatherization Policy Manual (WAP Manual), and all other applicable state weatherization Program Updates or directives. The contract clearly states the requirement to adhere to the SWS/Field Guide for work quality as outlined in WPN 15-4, Section 2, expresses the adherence to the approved energy audit procedures and 10 CFR 440 Appendix A. Material approved for use and not contained in Appendix A is LED bulbs in place of CFLs (the approved waiver through DOE is pending).

Homes being weatherized, first receive extensive testing of combustion appliances to ensure family health and safety. Work is then assigned to the unit based on the specific recommendations from a rigorous energy audit performed on the unit. The Subgrantees select contractors to complete the weatherization work based on the energy audit recommendations and Delaware's approved Hancock software modeling. The types of work to be done include general air sealing (blower door directed), insulation (attics, crawl spaces/basements/walls/ducts), DHW insulations and some mechanical equipment efficiency or health and safety work.

All work is being performed in accordance to the DOE approved energy audit procedures and 10 CFR 440 Appendix A. In addition, all work done is in compliance with the Delaware WAP Manual, available to the general public, clients, the Subgrantees, contractors and others online at: www.de.gov/wap

DNREC ensures adherence to federal and state requirements through our contracts with Subgrantees which require that "...VENDOR shall comply with 42 U.S.C. § 6861 et seq.; and 10 CFR Part 440 and 2 CFR 200, the approved U.S. Department of Energy (DOE) Weatherization Assistance Program (WAP) State Plan for the State of Delaware, the Delaware Weatherization Field Guide, the Delaware Weatherization Policy Manual (WAP Manual), the Delaware Standard Work Specifications, and all other applicable state weatherization Program Updates or directives."

Besides the contractual agreement, regular monitoring of site activities by the Subgrantees' auditors and the State Monitor assures that adherence is occurring daily. The Subgrantees provide the required documentation to each subcontractor at the time of entry into the WAP. Beginning in PY16, contractors were required to sign acknowledgements that they received the Delaware SWS and the WAP Manual. The State Monitor visits the in-progress sites on a regular basis and reviews all of the WAP subcontractors' work. At the time of an in-progress review, the subcontractor must verify that the SWS are on site and available for use. The State Monitor also accepts the digital access to the required document, and the subcontractor must show the access digitally. A sample contractor acknowledgement is provided as an attachment to the SF-424 (Be advised that the sample acknowledgement shows the Delaware Field Guide and SWS as separate documents. Beginning in PY2019, they will be the same document).

As per the guidance in WPN 19-1, Section 2.8, the WAP Manual lists the exempt activities and requires the Environmental Questionnaire (EQ-1) to be submitted for review.

Field guide types approval dates

Single-Family: 1/15/2019
Manufactured Housing: 1/15/2019
Multi-Family:

V.4.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: HEAT
Approval Date: 2/4/2019

Audit Procedure: Manufactured Housing
Audit Name: HEAT
Approval Date: 2/4/2019

Audit Procedure: Multi-Family
Audit Name: Other (specify)
<input type="text" value="N/A"/>
Approval Date:

Comments

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Delaware has received a conditional approval from DOE/SMS to use HEAT for single family and manufactured homes beginning 02/04/19. This conditional approval is based on providing a list of items to SMS. All of the requested items have been provided as of 02/28/19. As part of the Delaware Training Plan, all of the WAP energy auditors will be receiving HEAT training in February and March 2019.

Delaware is in compliance with an approved SWS/Field Guide as of 01/15/19. A waiver to Appendix A for LED lighting is pending DOE/SMS approval.

For Multi-family situations, DE will treat such situations on a case-by-case basis using EA-Quip with DOE approval as needed. Currently Delaware does not have a certified auditor for multifamily. In pursuing multifamily weatherization, Delaware will contract for the auditing services (initial audit and final inspection). The 2019 Training Plan contains opportunities for the WAP auditors to obtain the multifamily certification. DNREC will submit all multifamily projects to the DOE Project Officer for approval in the absence of a multifamily audit protocol.

V.4.3 Final Inspection

DNREC requires Quality Control Inspectors (QCI) working for, or contracted by, the WAP to possess the knowledge, skills and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for Quality Control Inspectors. Every DOE WAP unit reported as a "completed unit" has received a final inspection ensuring that all work meets the minimum specifications outlined in the Delaware SWS/Field Guide. In addition, every client file will contain verification that certifies that the unit had a final inspection and that all work met the required standards signed by a certified QCI. If a unit has received both a final inspection and has also been monitored by DNREC, there will be evidence in the file to that effect, in addition to the QCI report.

Currently Delaware has six QCI certified inspectors working in the Delaware WAP program. Two individuals work at Catholic Charities, one at Franklin Energy (contracted entity through ECA), two are employees at ECA, and the State Monitor. Catholic Charities uses the independent auditor/QCI and ECA uses an independent auditor and in-house QCIs. The four QCI inspectors working at the Subgrantees are sufficient resources to ensure compliance with WPN 15-4 for all three Delaware counties.

The final inspection ensures that all health and safety issues were addressed in a manner which protects the client. Final Inspections include: post blower door readings at CFM 50; health and safety checks including Worst Case CAZ and compliance with ASHRAE 62.2; checks of accuracy of measures charged against measures installed; and evaluations of the appropriateness of all work completed, including air sealing, insulation, client education, duct insulation, pressure differentials, and costs. A dwelling unit may not be reported as completed until a final inspection has been performed and it has been certified that the work is high quality, all materials have been properly installed, and approved procedures have been followed. Standardized forms are used to document the results of the final inspection, and are recorded and maintained in the client file in the WAP Online database. Only completed dwelling units with successful final inspections are reimbursed by the State and DOE.

Delaware will utilize an independent auditor/QCI protocol whereby the auditor (on-staff at the Subgrantee or 3rd party contractor) performs the audit, creates the work order, and performs the final QCI inspection. The auditor is not involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, DNREC will perform quality assurance reviews of at least 10 percent of all completed DOE units. Given the high experience level of our contractors and our small technical staff, we believe a 10 percent target to be justifiable. We will however be measuring any failure rates or problem areas and may increase the quality assurance target if field work or the work of the auditor/inspector is unsatisfactory.

In the event that a QCI is found to have inadequate inspection practices and/or lacks adherence to the SWS and WAP policies and procedures, DNREC will determine if the inadequacy is a training void or ethical concern. If the QCI requires additional training, the QCI will have a Corrective Action Plan (CAP) to address the training needs. If the QCI refuses training or does not adhere to the CAP, the QCI will be terminated from the Program. If DNREC identifies an ethical concern that is substantiated, the QCI will be terminated.

A copy of the final QCI inspection form, provided as an attachment, is used in concert with the Work Order that lists all of the measures installed. The QCI verifies on the Hancock Final Acceptance Report that all measures have been installed and notes if there are any missed opportunities. The policy and procedures that govern QCI inspection and enforcement are located at de.gov/wap under Resources for Professionals - WAP Manual Sections 5.2.1, 5.2.6, and 5.2.8.4.3.

V.5 Weatherization Analysis of Effectiveness

DNREC had a third party consultant conduct a program review of the Delaware WAP with the report being delivered in November 2017. Report recommendations were used in January 2018 to develop a Work Improvement Plan that was implemented through June 2018. The focus of the improvements were (1) trust and communication among the Subgrantee staff (2) training on diversity at the Subgrantee (3) improved communication between the WAP and LIHEAP staffs at the Subgrantee (4) tracking the client pipeline (5) focus on client intake training (6) Subgrantee tracking of auditor credentials and (7) improvement in inventory tracking.

In addition, continuous Program improvement is being achieved through the Annual Administrative Review (AAR), Annual Technical Review (ATR), regular meetings with the Subgrantees, formal field monitorings, training, formal corrective actions, and auditor quarterly meetings. Management mechanisms being used are semi-annual meetings with the Program Managers to discuss production goals, auditor shortfalls, staffing challenges, contractor retention, and contractor procurement. Another mechanism is regular meetings with the Subgrantees, DNREC meets monthly with Catholic Charities and bi-weekly with ECA.

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The findings from the final inspections are included in an ongoing evaluation of quality of the subcontractors that feed directly into the procurement and selection process. Contractors found to have substandard quality work do not continue in the Program, the goal being to create specialized experts in weatherization. The next level of oversight comes from the quality assurance inspections performed by the DNREC staff. The quality assurance inspections assess all the elements as the final inspectors, as well as detailed inspections of the energy audit itself and adherence to the SWS. The quality assurance inspections also include detailed review of the full documentation of the client file, procedures followed by the Subgrantees, procurement, documentation, and the invoicing. DNREC staff performs quality assurance inspections on 10% of completed units. One-on-one interactions with the Subgrantee auditors and installing crews prove to be effective in reviewing quality workmanship on a daily basis. Training needs are quickly identified and addressed by pertinent training.

Currently there are six QCI certified inspectors that work for WAP in the state; two are employed at Catholic Charities, one is employed at Franklin Energy (ECA's subcontracted entity for audits), and two are employed at ECA, and one as the State Monitor. The quality of final inspections conducted by QCIs is an on-going process that is reviewed by the State Monitor. Any lack of quality is addressed through the regular auditor meetings and can be addressed by the process of removing a QCI in the Delaware WAP (WAP Manual, Section 5.2.8).

The WAP does not perform comparisons with the Subgrantees currently. The new Subgrantee is still in the process of ramping up their services and DNREC looks for great improvements in production in PY2019. Currently the effectiveness of the weatherization is measured through the regular observations made in the field, the AAR and the ATR. The State Monitor holds quarterly meetings with all of the Delaware auditors to improve Program consistency and he provides training at these meetings. Trainings have included Health & Safety updates and corrections to observations made in the field.

The State Monitor performs a biannual market analyses that tracks weatherization prices in the region. He also compares the Delaware price list to other states in the region to ensure that Delaware pricing is fair and reasonable. The State Monitor stays abreast of new products and includes them on the revised Delaware Price List which is reviewed twice a year.

V.6 Health and Safety

The Health and Safety (H&S) Plan is attached. Find on pages 22-23 the Health and Safety survey that is filled out by the client at intake. A second part of the survey is later filled out by the home energy auditor as part of the initial home energy audit of the home. As a finding during the Annual Administrative Review, it was observed that the first page of the H&S survey was not being given to the auditor to ensure that he had the complete picture of what is happening in the home. The Subgrantee is changing their process to ensure that the auditor receives the first page of the survey prior to conducting the home audit.

On page 2 of the H&S Plan, there is an explanation of the maximum percent for the H&S costs of 14.9% per unit when figured across the total number of DOE units weatherized. In addition, Delaware removes H&S from calculating the average cost per unit because we elect to have a separate H&S cost category. When the new H&S guidelines were provided to the WAP network, training for the auditors was provided and all the WPN 17-7 information was sent to the Subgrantee. To ensure the continuation of H&S training, each Subgrantee provides a new contractor with an orientation that includes the Delaware H&S training. Every two years, DNREC holds an All-Hands mandatory H&S training for all persons in the WAP with the next scheduled training slated for May 22, 2019.

DNREC tracks all training of the Subgrantee staffs and their weatherization contractors. DNREC and auditors ensure that the installing crews have an RRP-certified individual on-site. Contractors are required to have access to their copy of Firm Status and their RRP certification. The Subgrantees must obtain the Firm Status and copies of all valid RRP certifications for their Crew Leaders at the beginning of each program year. These certifications are reviewed during the annual Subgrantee monitoring.

DNREC is contracting to have an accredited trainer provide training on radon, mold and asbestos to the technical staff on March 5, 2019. The focus of the radon portion of the training will be on general radon education, reviewing the client education that the auditors must provide to clients, overview of the EPA's Consumer Guide to Radon Reduction, and the new WAP radon client consent form.

Delaware does not repair/replace air conditioning systems. The only instance when an AC unit is part of a repair/replace is when the AC unit is intrinsic to the primary heating system (heat pump). If AC of the home is necessary for health & safety purposes, the client is referred to the SCAP AC Program that uses state LIHEAP funds.

DNREC anticipated the new Subgrantee bringing on auditors in PY2018; DNREC spearheaded the H&S training for them. ASHRAE 62.2 training will occur on March 26, 2019 for all auditors in the Program to ensure that there is consistency in how auditors are applying the 2016 standard. The deferral checklist is provided at pages 20-21 in the H&S Plan. When a home is deferred at the time of the audit, the client is notified by mail, the reason(s) for deferral is cited, and the right to appeal information is provided. Catholic Charities in Delaware implements a program that is funded through the Delaware Sustainable Energy Utility that provides home repairs for the sole purpose of having deferred WAP homes placed back into the Weatherization Program; called the Pre-Weatherization Program (Pre-WAP). In implementing this program, a home that is deferred through WAP may be returned to the WAP to proceed with weatherization. The Catholic Charities WAP Subgrantee is collocated with the Catholic Charities Pre-WAP which makes for ease of work flow. The synergy of the Pre-WAP and WAP programs is proving to be tremendously successful in weatherizing more homes that may have remained in a deferral status indefinitely. When the new Subgrantee for New Castle County came on board in PY2018, the work flow between WAP and Pre-WAP had to be established.

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V.7 Program Management

V.7.1 Overview and Organization

The Delaware Weatherization Assistance Program is administered by the Delaware Department of Natural Resources and Environmental Control's (DNREC) Division of Energy and Climate. The Division includes other key energy and climate policy staff for DNREC. The role of Subgrantee has been fulfilled by Catholic Charities Incorporated since PY2014 and the Energy Coordinating Agency (ECA) has been a Subgrantee for 1 year. Delaware conducted a competitive bid process in late 2017 through a Request for Proposal to seek Subgrantees. The competitive bid process was in compliance with all state of Delaware requirements for a Request for Proposal (RFP). The new contracts in 2018 with Catholic Charities and ECA are anticipated to continue through PY2020.

The Division of Energy and Climate in DNREC also administers the State Energy Program (SEP) grant under DOE. The Division is the lead state agency in development of energy policy and plans related to renewable energy systems, energy efficiency and utility policies. We work in concert with the State Public Service Commission, the Sustainable Energy Utility and other state agencies having an interest in energy issues, including the Department of Transportation, the Division of Historical and Cultural Affairs, the Delaware State Housing Authority, the Division of Air Quality in DNREC and many affected electric and gas utilities across the State. DNREC also works closely with the Department of Health and Social Services, the lead agency for the LIHEAP program in Delaware.

As part of the Program Management, DNREC immediately implemented an Improvement Plan to increase communication with the Subgrantee, Catholic Charities, based on the results of the 2017 American Consumer Satisfaction Index (ACSI) survey. The Grantee was holding monthly meetings via conference call with the Subgrantee but chose to convert the calls to face-to-face meetings for 6 months. At each meeting during the 6 months, a different topic was discussed that directly related to the ACSI survey results (discussed in the Annual File under Miscellaneous IV.7).

V.7.2 Administrative Expenditure Limits

Delaware has traditionally received relatively small federal WAP appropriations, so allocating the full 10% of allowable administrative dollars fails to meet the administrative expenses of both the Subgrantees and the Grantee. In addition, the State (Grantee) is prohibited from using program operations funds to meet salary or other operating expenses. Delaware allocates the allowable 10% for administrative expenses 51/49, with the Grantee receiving 49% and the Subgrantees splitting the remaining 51%.

V.7.3 Monitoring Activities

The purpose of this monitoring approach is to assist the Subgrantees in providing high quality energy conservation weatherization services to low income individuals and to comply with all Program Rules and Guidance. In addition, monitoring ensures that high quality comprehensive services are consistently applied throughout the state. Monitoring will ensure adherence to new program policies and procedures at the State level and effective implementation of the Program at the local level.

The State has one statewide technical monitor referred to as the State Monitor. The Grantee also pays for staff time to monitor the Subgrantee on the administrative and financial portions as well. Our State Monitor position, which was awarded a state contract on February 8, 2018, is required to be QCI and BPI certified and have a minimum of 5 years of experience in weatherization and home energy performance. The WAP State Manager and a Management Analyst II are the other staff at the Grantee level which provides monitoring at the administrative and financial levels. They participate in the technical monitoring portion of the Annual Administrative/Technical Review yet yield to the technical expertise of the State Monitor. The WAP State Manager received the BPI Building Analyst training and has significant experience in building science, which aids in program performance overall.

The goal of the Subgrantee monitoring approach is for constant communication, coordination, assistance, and constructive evaluation between DNREC and the Subgrantees; they are monitored regularly. Onsite monitoring of the Subgrantees include the following: client file review; most recent organization audit; procurement procedures review; fiscal review; review of Liability & Pollution Occurrence Insurance (POI); review of compliance with all DOE and State regulations and procedures; and production management review. The Subgrantee must provide a copy of their most recent financial audit as part of the annual monitoring. DNREC staff review the client files for completeness, accuracy, and appropriateness of forms and signatures. Monitoring staff also review timelines of vendor payments as well as evaluation of appropriateness of cost for services. Delaware utilizes a monitoring checklist that is based upon Program Guidance 16-4 and which includes all provisions in the Subgrantee checklist and applicable programmatic and financial checklists found on WAPTAC. If the Subgrantees have deficiencies, a Corrective Action Plan will be created with deadlines for the deficiencies to be corrected. If the Subgrantee fails to correct the deficiencies as outlined in the Plan, the language in the State Professional Services contract and the WAP Manual provide the vehicle through which to terminate the Subgrantee from the Program. Both of the Subgrantees were formally monitored in PY18.

In compliance with the Quality Work Plan and SWS goals, DNREC will conduct random quality assurance evaluations of 10% of all completed dwelling units

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(8 units). We use the 10% target (instead of the minimum 5% required) because we have opted to allow final QCI inspectors to inspect units on which they conducted the initial audit. The State Monitor is required to conduct 8 formal monitorings in PY 2019; these will be scheduled at approximately one monitoring every other month. The unit being monitored has not received final payment and will not until all issues are completed as per the monitoring report. The travel necessary for the State Monitor is conducted within the standard work day, Delaware is quite small and special travel arrangements and budgets are not necessary. DNREC conducts multiple site visits during weatherization activities (referred to as informal monitorings) to ensure that weatherization services are provided in a professional and workmanlike manner in compliance with all standards, regulations and policies set forth by DNREC in the Delaware SWS and DOE rules and guidance. The State Monitor ensures that all work is being conducted by fully trained contractors and installers (the state is small; the Monitor knows all of the contractors and their crews by name). The field inspection includes: base load measures installed, air sealing, insulation, mechanical ventilation review, CAZ testing etc. The monitor must verify that the work being performed is appropriate and effective, and in compliance with all DOE and State regulations. Monitoring staff also gather feedback from subcontractors and program participants to better understand strengths, weaknesses and opportunities for improvement, training and technical assistance. In the event a unit has a weatherization issue after being deemed complete, the Subgrantee auditor is responsible to conduct an investigation of the issue. If the issue is not resolved, the State Monitor will investigate the issue and make a determination of how to resolve the issue.

The QCI final inspections will verify that the SWS has been followed for each measure installed in the home. QCI certifications will be monitored by the Grantee and records kept on when each final inspector attains his QCI certification and its expiration (DNREC receives electronic notifications from an automated database when credentials are ready to expire). When the State Monitor discovers a lapse in a QCI's credentials or when inspectors are not following established SWS guidelines, such lapses will be brought to the Subgrantee's attention and an additional QCI inspector will be required to redo the inspection. Further, QCI inspectors found not following SWS or other programmatic guideline in a consistent fashion are subject to removal from the program (WAP Manual, Section 5.2.8). Similarly, the State Monitor, who is a contractor, if found to be disregarding standard work specifications or other standards under the program, or if he fails to maintain the proper credentials, will be subject to disciplinary action and/or dismissal provisions; the same as other QCI professionals.

Sixty four percent (64%) of the Grantee's T&TA funds are spent directly on monitoring the Subgrantees. The remaining T&TA funds are used for training, data management and travel.

Programmatic monitoring occurs at least annually. DNREC uses such monitoring to determine whether a Subgrantee is deficient in its procedures. If a Subgrantee is found deficient they will be required to remedy all deficiencies and will be offered training specific to the agency's needs as per WPN 16-4. A deficient Subgrantee will also be subject to increased frequency and monitoring by the State if deficiencies are not addressed in a timely fashion.

Within thirty (30) days of each formal field monitoring, the State prepares a written report on its findings and sends it to the Subgrantee for corrective action. The Subgrantee has thirty (30) days to respond in writing with a Corrective Action Plan in response to each state monitoring report. Noncompliance findings, unresolved within forty five days, are then reported to DOE; sensitive or significant noncompliance findings are reported to DOE immediately. Deficiencies in the process of the formal monitorings and reporting will give reason for Subgrantee suspension or termination through the Delaware WAP Manual, Section 4.2.3 Failure to Meet Program Goals.

A third party consultant reviewed Catholic Charities in detail and provided a report in November 2017. A Work Improvement Plan was developed and implemented based on the report recommendations in PY2018 (an outline of the improvements are contained in Section V.6 of this Masterfile).

V.7.4 Training and Technical Assistance Approach and Activities

The State of Delaware's Training and Technical Assistance (T&TA) is intended to increase the efficiency and effectiveness of the weatherization program at all levels. T&TA activities are also designed to help maximize energy savings; minimize production costs; improve the quality of workmanship; and reduce the potential for waste, fraud and mismanagement. All stakeholders in the Program including the state, the Subgrantees, and the weatherization contractors and subcontractors receive T&TA. Each stakeholder engages in training and/or receives technical assistance to replicate best practices and adhere to DOE standards of excellence throughout the entire project. Agencies receive T&TA consultations from the DNREC staff as appropriate. These visits assist local agency staff with issues relating to program operations, fiscal management, procurement procedures, and the technical aspects of the program. As a finding through the Annual Technical Review, the State Monitor identified issues with work quality and scheduled informal ToolBox Talks to address deficiencies in pipe wrap, batt insulation, and mobile home belly patching. The State Monitor quickly addresses deficiencies in the field with training.

The Subgrantees hold retention agreements with their subcontractors to ensure that the subcontractors remain in the Program for a period of at least 6 months after receiving the training. If a subcontractor leaves the Program, the Subgrantee must reimburse the Program for the training received.

The Subgrantees in Delaware receive 64% of the T&TA funds. DNREC arranges the majority of the training by handling professional training contracts, funding, participant registration, and hosting the training days. In PY16, all of the Delaware Crew Leaders and Installers attended comprehensive training at the Williamsport Training facility and completed the Crew Leader and Retrofit Installer programs. Major Tier 1 training for the Crew Leaders and Installers will be

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updated every five (5) years. The training schedule in PY19 is focused on informal trainings through ToolBox Talks and quarterly Auditor Meetings. More formal trainings in PY19 will focus on H&S, HPC and NASCSP conference attendance, crawlspace training, basic HVAC training, and multi-family certification.

Assessment of Training Needs

The State assesses the training needs of the Subgrantees and contractors through quality assurance monitoring in the field, observations of performance, discussions, regularly scheduled management meetings, and monitoring visits. Through close monitoring of contractors' work, the Subgrantees are able to further assess areas for improvement and provide robust feedback to the State for additional training needs of their contractors.

Maintaining Workforce Credentials

DNREC and the Subgrantees require all new weatherization contractors coming into the WAP provide all credentials for their crews as part of submitting their business documents. This is to ensure that un-trained persons are not working in the WAP. In addition, at the beginning of each program year the Subgrantees require all credentials (company and all individuals) to be submitted as part of their contracting process. All credentials are scanned and maintained in a training database held at DNREC and made available to administrative Subgrantee staff. The database provides monthly notifications of any expiring credentials contained within. DNREC informs the Subgrantees of expiring credentials and then individuals are then notified by the Subgrantees to pursue refresher courses and/or recertifications.

Training Plan

The training plan will continue in 2019 and show that the implementation of the Tier 1 and Tier 2 levels are met. All WAP workers will be provided with JTA training provided by an IREC-accredited training facility for Tier 1, as required by DOE. Delaware's program currently employs three staff at the Grantee and nine staff at the Subgrantee level. In addition, the Delaware Program employs approximately 14 weatherization workers statewide, 4 of whom are Crew Leaders, with 2 backup Crew Leaders. Delaware uses a two tier system of training as outlined in WPN 15-4. Below under **Training Plan Components** is a detailed training schedule and the budget planning to show how the Grantee will meet the needs. If there are any un-utilized T&TA funds, they will be moved to Program Operations to weatherize more homes before the end of the grant cycle.

Tier 1

Catholic Charities has two QCI auditors on staff who perform all final inspections. The new Subgrantee, Energy Coordinating Agency, will be subcontracting the home energy auditing and then performing their own QCI final inspections. In 2019, DNREC will look for training on HVAC systems to help the auditing staff to better understand all types of heating systems. This was a request from one of the Subgrantees to be more knowledgeable about HVAC systems.

Tier 2

DNREC will continue Tier 2 training sessions when new staff are brought into the program and when a need may be evident based on monitorings or other indications that additional training or refreshers are required. Hancock Software training for using the HEAT Tool and software essentials for all users will continue; especially as WAP moves forward with the full home energy audits in 2019. Hancock training is slated for late PY18 and will continue into PY19 as needed.

Health & Safety training is provided by the Subgrantees as part of their new contractor orientation. DNREC requires all WAP personnel to attend H&S training every two years.

Quarterly Auditor Meetings hosted by the State Monitor will have webinars and field observations incorporated for training purposes. These meetings/trainings will serve the purpose of maintaining consistency throughout the state.

ECA has a monthly training session that they hold for their employees. They cover installation techniques for pipe wrap, duct wrap, insulation tips & tricks, door sweeps and door kit installation, etc.

DNREC has set a goal of providing ToolBox Talks on various subjects to keep the installing crews abreast of any new program changes, basic safety, knob & tube wiring, and new weatherization techniques and products. In this way, the State Monitor can focus training for the installing crews where work quality may be faltering. This new training approach will begin in late PY2018 and through PY2019 under the direction of State Monitor on a quarterly basis. These Talks will be given in the field and be a 15-20 minute discussion.

Training Plan Components

Formal trainings are mandatory. Failure to attend formal training requires comparable outside training (with proof of passage) or termination from the program. Training prior to hire is not a requirement in Delaware, the individual must acquire training as prescribed in the Delaware WAP Update 16-03 (Training Requirements) for each core competency. The Training Plan contained herein is modified as necessary in response to monitoring reports from DOE, state

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monitoring findings, or observed technical deficiencies as noted by the State Monitor on an as-needed basis. Delaware's WAP Manual has been fully revised as of January 2017 and the Delaware WAP Update 16-03 for Training Requirements has been added. Delaware's WAP Manual specifies minimum qualifications and core competencies for each JTA working in the Delaware Program.

DNREC maintains a spreadsheet of all training held by DNREC and attended by WAP workers presently working in Delaware. When DNREC requires training, DNREC records the names of attendees and issues certificates of completion. The scanned certificates and training name are kept on file digitally. All workers are tracked for maintaining certifications; DNREC will notify workers when they are set to expire. When training is obtained outside of DNREC's purview, the worker is required to supply DNREC a scanned copy of the certificate.

Training courses slated for PY19 include:

Projected Date	Training Name	Number Trained	Budgeted Amount
Quarterly 2019	Tool Box Talks	35	\$1000*
Quarterly 2019	Auditor Meetings/Trainings	7	\$1000*
Apr 2019	HPC Conference	11	\$27,500
Apr 2019	Crawlspace Training (John Tooley)	11	\$20,000*
May 2019	Health & Safety Training	35	\$1000*
Aug 2019	Basic HVAC Training	11	\$14,000*
Sep 2019	NASCSP Conference	2	\$4,000
Nov 2019	Multifamily Certification	4	\$14,100
Feb 2020	NASCSP Conference	3	\$3,500
			Total \$86,100

* Mandatory Training

Client education is one of the pillars of the Delaware WAP, DNREC and the Subgrantees are ever vigilant to provide client education at intake, during monitoring visits, during the initial audit, and at the final inspection and project completion. Radon training for all of the auditors is slated for March 5, 2019 to ensure that the auditors receive the appropriate training to provide effective client radon education in PY19.

Outreach and education is included as a performance parameter in the state contracts with the Subgrantees and reviewed through the annual Subgrantee monitoring process. The Delaware WAP has a display at the Delaware State Fair every year which provides education about weatherization and energy conservation with a hands-on tool and brochures. Where shortcomings in client education capabilities are discovered the Grantee will provide targeted remedial training to address the need.

Percent of overall trainings

Comprehensive Trainings:	53.3
Specific Trainings:	46.7

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	17.5
Percent of budget allocated to Crew/Installer trainings:	73.8
Percent of budget allocated to Management/Financial trainings:	8.7

V.8 Energy Crisis and Disaster Plan

Delaware does not include any disaster or energy crisis plans in our WAP application. If the circumstance arises in Delaware, WAP will follow the appropriate

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procedures defined in WPN 12-7.