State of California
Department of Community Services and Development

Weatherization Assistance Program for Low-Income Persons

2015 State Plan and Application to the U.S. Department of Energy
August 6, 2015

Edmund G. Brown, Jr.
Governor
State of California

Diana S. Dooley
Secretary
California Health and Human Services Agency

Linné Stout
Director
Department of Community Services and Development

Table of Contents

Annual File

I.	Application for Federal Assistance Standard Form 424	1
II.	Budget Information	4
III.	Budget Explanation	7
IV.1	Subgrantees	12
IV.2	Production Schedule	31
IV.3	Energy Savings	32
IV.4	DOE-Funding Leveraging Activities	33
IV.5	Policy Advisory Council Members	34
IV.6	Public Hearing	37
IV.7	Miscellaneous	38

Master File

V.1	Eligibility	
	V.1.1 Approach to Determining Client Eligibility	40
	V.1.2 Approach to Determining Building Eligibility	40
	V.1.3 Definition of Children	42
	V.1.4 Approach to Tribal Organizations	43
V.2	Selection of Areas to Be Served	44
V.3	Priorities for Service Delivery	45
V.4	Climatic Conditions	46
V.5	Type of Weatherization Work to Be Done	
	V.5.1 Technical Guides and Materials	47
	V.5.2 Energy Audit Procedures	47
	V.5.3 Final Inspections	48
V.6	Weatherization Analysis of Effectiveness	49
V.7	Health and Safety	53
V.8	Program Management	
	V.8.1 Overview and Organization	55
	V.8.2 Administrative Expenditure Limits	56
	V.8.3 Monitoring Activities	57
	V.8.4 Training and Technical Assistance Approach and Activities	68
V.9	Energy Crisis and Disaster Plan	73

Attachments

A. DOE F 1600.5 Nondiscrimination in Federally Assisted Programs
B. FA-CERTS
C. Program Years 2013 and 2014 Carryover
D. CSD 2015 Eligibility and Verification Guide
E CSD Priority List Policy

F. CSD Single-Family/Small Multi-Family Energy Audit Protocol
G. CSD Multi-Family Energy Audit Protocol
H. California Energy Commission (CEC) Climate Zones
I. State Housing Preservation Office Memorandum of Understanding
J. CSD Health and Safety Plan (Rev. 4/10/15)
K. Public Hearing Transcript
L. Policy Advisory Council Attendees
    1. March 2014 Minutes
    2. June 2014 Minutes
    3. October 2014 Minutes
    4. December 2014 Minutes
M. CSD Weatherization Staff Organizational Chart
N. Explanation of Indirect Costs
O. State Administrative Manual
P. A-133 Audit
Q. WPN 15-4 Quality Work Plan Requirements
R. EPA Certified Firm List
S. Monitoring – Areas of Responsibility
T. CSD Training Requirements Matrix

OMB Number: 4040-0004
Expiration Date: 8/31/2016

Application for Federal Assistance SF-424

* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
☐ Preapplication	☐ New	
☒ Application	☒ Continuation	* Other (Specify):
☐ Changed/Corrected Application	☐ Revision	

* 3. Date Received:	4. Applicant Identifier:
04/14/2015	

5a. Federal Entity Identifier:	5b. Federal Award Identifier:
	EE0006141

State Use Only:

6. Date Received by State:	7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: State of California

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
68 0283471	9295752680000

d. Address:

* Street1:	2389 Gateway Oaks Dr., Suite 100
Street2:	
* City:	Sacramento
County/Parish:	Sacramento
* State:	CA: California
Province:	
* Country:	USA: UNITED STATES
* Zip / Postal Code:	95833-4246

e. Organizational Unit:

Department Name:	Division Name:
Community services and develop	Energy and Environmental Servi

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

Prefix:	Ms.	* First Name:	Kathy
Middle Name:			
* Last Name:	Andry		
Suffix:			

Title: Deputy Director of Energy & Environmental Ser

Organizational Affiliation:

* Telephone Number:	916-576-7109	Fax Number:	

* Email: kathy.andry@csd.ca.gov

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81 042

CFDA Title:

Weatherization Assistance for Low Income Persons

*** 12. Funding Opportunity Number:**

DE-FOA-

* Title:

Program Year 2015 Weatherization Formula Grants

13. Competition Identification Number:

Title:

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

Add Attachment | Delete Attachment | View Attachment

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

The Weatherization Assistance for Low Income Persons enables low-income families to permanently reduce their energy bills by making their homes more energy efficient.

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant: 05
* b. Program/Project: CA

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

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 07/01/2015
* b. End Date: 06/30/2016

18. Estimated Funding ($):

* a. Federal	5,244,959.00
* b. Applicant	
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	5,244,959.00

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

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

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- [ ] Yes
- [x] No

If "Yes", provide explanation and attach

Add Attachment | Delete Attachment | View Attachment

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

- [x] ** I AGREE

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

Authorized Representative:

Prefix:	Ms.
* First Name:	Linné
Middle Name:	
* Last Name:	Stout
Suffix:	
* Title:	Director
* Telephone Number:	916-576-7109
Fax Number:	
* Email:	linne.stout@csd.ca.gov
* Signature of Authorized Representative:	Linné Stout
* Date Signed:	4-30-15

Applicant Name: State of California Award Number: EE 0006141 Annual File

II.1 Budget Information

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE WAP 2015	81.042			$5,244,959		$5,244,959
2. DOE WAP 2014	81.042			$22,972		$22,972
3. DOE WAP 2013	81.042			$7,520		$7,520
4.						$0
5. Totals		$0	$0	$5,275,451	$0	$5,275,451

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Grantee Administration	(2) Subgrantee Admin	(3) Grantee T&TA	(4) Subgrantee T&TA	
a. Personnel	$92,407		$176,681		$269,088
b. Fringe Benefits	$42,481		$81,843		$124,324
c. Travel	$6,450		$42,700		$49,150
d. Equipment					$0
e. Supplies					$0
f. Contractual		$264,051	$325,000	$270,618	$859,669
g. Construction					$0
h. Other					$0
i. Total Direct Charges (sum of 6a-6h)	$141,338	$264,051	$626,224	$270,618	$1,302,231
j. Indirect Charges	$120,910		$0		$120,910
k. **Totals** (sum of 6i-6j)	$262,248	$264,051	$626,224	$270,618	$1,423,141
7. Program Income					$0

Previous Edition Usable

SF-424A (Rev. 4-92)
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

II.1 Budget Information

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						$0
2.						$0
3.						$0
4.						$0
5. Totals		$0	$0	$0	$0	$0

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Program Operations	(2) Health & Safety	(3) Vehicles & Equipment	(4) Liability Insurance	
a. Personnel					$0
b. Fringe Benefits					$0
c. Travel					$0
d. Equipment					$0
e. Supplies					$0
f. Contractual	$3,176,147	$635,230	$0	$40,933	$3,852,310
g. Construction					$0
h. Other					$0
i. Total Direct Charges (sum of 6a-6h)	$3,176,147	$635,230	$0	$40,933	$3,852,310
j. Indirect Charges					$0
k. **Totals** (sum of 6i-6j)	$3,176,147	$635,230	$0	$40,933	$3,852,310
7. Program Income					$0

SF-424A (Rev. 4-92)

Previous Edition Usable

Prescribed by OMB Circular A-102

Authorized for Local Reproduction

II.1 Budget Information

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						$0
2.						$0
3.						$0
4.						$0
5. Totals		$0	$0	$0	$0	$0

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Leveraging	(2) Financial Audits	(3)	(4)	
a. Personnel					$0
b. Fringe Benefits					$0
c. Travel					$0
d. Equipment					$0
e. Supplies					$0
f. Contractual	$0	$0			$0
g. Construction					$0
h. Other					$0
i. Total Direct Charges (sum of 6a-6h)	$0	$0	$0	$0	$0
j. Indirect Charges					$0
k. Totals (sum of 6i-6j)	$0	$0	$0	$0	$0
7. Program Income					$0

SF-424A (Rev. 4-92)

Previous Edition Usable

Prescribed by OMB Circular A-102

Authorized for Local Reproduction

III. Budget Explanation

Personnel

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

Position	Description of Duties
Staff Services Manager III	Manager provides staff supervision and oversees the Energy Division.
Staff Services Manager I - Technical Support Unit	Manager provides staff supervision and administers departmental policies and programs. Participates in Policy Advisory Council meetings. Oversees development of policies, standards, contracts and trainings. Primary liaison to DOE.
Assoc. Govt. Program Analyst - Technical Support Unit	Analysts provide technical and analytical support and training to Subgrantees and departmental staff. Help in the development of policies, standards, contracts, program guidance and energy audit reviews.
Staff Services Analyst - Technical Support Unit	Analyst provides technical and analytical support and training to Subgrantees and departmental staff. Help in the development of policies, standards, contracts and program guidance.
Student Assistant – Technical Support Unit	Assistant provides clerical and analytical support to Technical Support Unit
Staff Services Manager II – QA and Field Operations	Manager provides staff supervision and administers departmental policies and programs. Participates in Policy Advisory Council meetings.
Staff Services Manager I - Field Operations Unit	Manager provides staff supervision and oversight of the monitoring of Subgrantees.
Assoc. Govt. Program Analysts - Field Operations Unit	Analysts perform day-to-day program administration, review of fiscal and programmatic data reports, annual monitoring activities and program analysis for monitoring purposes.
Staff Services Manager I - Policy Development Unit	Manager provides staff supervision and oversight of contract and policy development.
Assoc. Govt. Program Analysts - Policy Development Unit	Analysts develop Subgrantee and subcontractor contracts and contract amendments and aids in the development

Position	Description of Duties
	of program policy.
Staff Services Manager I - Quality Assurance Unit	Manager performs oversight of the QA monitoring provided by third-party inspection contractor and oversees separate QA inspections performed by Grantee staff.
Assoc. Govt. Program Analyst - Quality Assurance Unit	Analysts perform field monitoring of the third-party inspection contractor and separate QA inspections of the Subgrantees.
Retired Annuitant – Quality Assurance Unit	Provides program support and clerical services to QA unit

Direct Personnel Compensation:

Position	# of Positions	Salary/ Wage	Time	Direct Pay
Staff Services Manager III	1	$94,224	5.0% FT	$4,711
Staff Services Manager I - Technical Support Unit	1	$77,244	45.0% FT	$34,760
Assoc. Govt. Program Analyst - Technical Support Unit	2	$67,416	30.0% FT	$40,450
Assoc. Govt. Program Analyst - Technical Support Unit	1	$67,416	30.0% FT	$20,225
Staff Services Analyst - Technical Support Unit	1	$56,052	30.0% FT	$16,816
Student Assistant – Technical Support Unit	1	$15,600	15.0% PT	2,340
Staff Services Manager II – QA and Field Operations	1	$84,816	10.0% FT	$8,482
Staff Services Manager I - Field Operations Unit	1	$77,244	15.0% FT	$11,587
Assoc. Govt. Program Analysts - Field Operations Unit	8	$67,417	15.0% FT	$80,899
Staff Services Manager I - Policy Development Unit	1	$77,244	5.0% FT	$3,862
Assoc. Govt. Program Analysts - Policy Development Unit	2	$67,416	20.0% FT	$13,483
Staff Services Manager I - Quality Assurance Unit	1	$77,244	15.0% FT	$11,587
Assoc. Govt. Program Analyst - Quality Assurance Unit	2	$67,416	15.0% FT	$19,253
Retired Annuitant – Quality Assurance Unit	1	$31,763	2.0% PT	$635

Total Direct Personnel Compensation	$269,088

Fringe Benefits

The fringe benefit rate is based upon actual percentages used to pay for benefits of all State employees. The total amount of fringe benefits is calculated based upon a prorated amount of the annual salary of each classification that is attributable to DOE activities.

Benefit	Rate
Retirement	24.28%
Payroll Taxes – OASDI	6.20%
Payroll Taxes - Medicare	1.45%
Medical Insurances	14.61%
Total Fringe Benefit Rate	46.54%

Position	# of Positions	Direct Pay	Benefit
Staff Services Manager III	1	$4,711	$2,193
Staff Services Manager I - Technical Support Unit	1	$34,760	$16,177
Assoc. Govt. Program Analyst - Technical Support Unit	2	$40,450	$18,825
Assoc. Govt. Program Analyst - Technical Support Unit	1	$20,225	$9,413
Staff Services Analyst - Technical Support Unit	1	$16,816	$7,826
Student Assistant – Technical Support Unit	1	2,340	$179
Staff Services Manager II – QA and Field Operations	1	$8,482	$3,947
Staff Services Manager I - Field Operations Unit	1	$11,587	$5,392
Assoc. Govt. Program Analysts - Field Operations Unit	8	$80,899	$37,650
Staff Services Manager I - Policy Development Unit	1	$3,862	$1,797
Assoc. Govt. Program Analysts - Policy Development Unit	2	$13,483	$6,275
Staff Services Manager I - Quality Assurance Unit	1	$11,587	$5,392
Assoc. Govt. Program Analyst - Quality Assurance Unit	2	$19,253	$8,960
Retired Annuitant – Quality Assurance Unit	1	$635	$296
Total Fringe Benefits			$124,324

Travel

Proposed travel:

Purpose of Trip	Number of Trips	Average Cost per Trip	Total
Energy OutWest Regional Meeting (Out-of-State)	1	$1,850	$1,850
Energy OutWest Training Conference (Out-of-State)	1	$2,100	$2,100
DOE Weatherization Training Conference (Out-of-State)	1	$2,450	$2,450
NASCSP Training Conferences (Out-of-State)	1	$2,950	$2,950
On-Site Meetings and Special Investigations	6	$550	$3,300
Program Management Training	6	$550	$3,600
PG&E Energy Training Center – Basic Wx	3	$200	$600
PG&E Energy Training Center - Diagnostics	6	$150	$900
DOE Inspection Training – Staff & 3rd Party Inspectors	8	$1,750	$7,000
DOE Inspection Certifications – Staff & 3rd Party Inspectors	8	$1,300	$5,200
Comprehensive Monitoring	40	$400	$16,400
Quality Assurance Inspections	10	$250	$2,500
Total Travel			$49,150

1) All budget estimations are based upon historical data and actual costs incurred under previous grants. Costs for all travel are leveraged with the LIHEAP weatherization program.
2) Budgets for meetings and conferences include any related training fees.

Contracts and Subgrants

Name of Proposed Sub	Basis of Cost	Total Cost
Wx Service Providers	Net allocation after Grantee admin and T&TA. Allocated by 3-factor formula; see Subgrantees for allocation breakdown. Cost basis – Allocated by 3-factor formula (Subgrantee) [1]	$4,386,979
Training Center Accreditation - PG&E Stockton Training Center	Provide funding to become a IREC-approved training center. Cost basis – Estimate	12,000
Technical Assistance – RHA Inc.	Provide technical assistance and training as assigned to CSD and Subgrantees.	275,000

Name of Proposed Sub	Basis of Cost	Total Cost
	Cost basis – competitive bid contract	
Third Party Inspections – ConSol	Conduct weatherized unit inspections; Cost basis. Cost basis - competitive bid contract	38,000
Total Contracts and Subgrants		$4,711,979

[1] CSD will allocate the 2015 DOE grant to Subgrantees that have a Certified Quality Control Inspector on staff or have subcontracting arrangements with an adjacent Subgrantee or third-party that have Certified Quality Control Inspector(s) on staff.

Indirect Costs

Refer to Attachment N – Explanation of Indirect Costs.

Carryover

Refer to Attachment C – Program Years 2013 and 2014 Carryover.

Note: Other weatherization programs that are administered by CSD are also used to fund wages, benefits and other program costs.

IV.1 Subgrantees

Subgrantee	Amador-Tuolumne Community Action Agency (ATCAA)			
Address	935 South State Highway 49			
City	Jackson CA 95642			
Executive Director	Shelly Hance			
Phone	(209) 223-1485	***Ext.***	***Fax***	(209) 223-4178
Email	shance@atcaa.org			
Program Manager	Craig Case			
Phone	(209) 984-1034	***Ext.***	***Fax***	(209) 533-1034
Email	ccase@atcaa.org			

Funds (tentative)	$37,024	***Units (tentative)***	14
Service Area	Amador, Calaveras, and Tuolumne Counties		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	03 19		
Comments			

Subgrantee	Campesinos Unidos, Inc.			
Address	P.O. Box 39			
City	Brawley CA 92227			
Executive Director	Jose Lopez			
Phone	(760) 344-4500	***Ext.***	***Fax***	(760) 344-0322
Email	cuimlopez@yahoo.com.com			
Energy Program Director	Toni Carrillo			
Phone	(760) 344-4500	***Ext.***	***Fax***	(760) 344-0322
Email	cuitonicarrillo@sbcglobal.net			

Funds (tentative)	$153,352	***Units (tentative)***	59
Service Area	Imperial and San Diego Counties, Energy Area A		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	49 50 51 52 53		
Comments			

IV.1 Subgrantees

Subgrantee	Central Coast Energy Services, Inc.				
Address	PO Box 2707				
City	Watsonville CA 95077-2707				
Executive Director	Dennis Osmer				
Phone	(831) 761-7080	***Ext.***	125	***Fax***	(831) 761-1747
Email	dennis@energyservices.org				
Environmental Services	Jake Lewandowski				
Phone	(831) 761-7080	***Ext.***	130	***Fax***	(831) 761-1747
Email	jake@energyservices.org				
Funds (tentative)	$160,401	***Units (tentative)***	61		
Service Area	Monterey, San Benito, San Mateo and Santa Cruz Counties				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	14 17				
Comments					

Subgrantee	Central Valley Opportunity Center, Inc. (CVOC)				
Address	P.O. Box 1389				
City	Winton CA 95388				
Executive Director	Ernie Flores				
Phone	(209) 357-0062	***Ext.***		***Fax***	(209) 357-0071
Email	eflores@cvoc.org				
Program Manager	Jean Warren				
Phone	(209) 357-0062	***Ext.***	133	***Fax***	(209) 357-0071
Email	jwarren@cvoc.org				
Funds (tentative)	$99,016	***Units (tentative)***	38		
Service Area	Stanislaus County				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	18 19				
Comments					

IV.1 Subgrantees

Subgrantee	Colusa-Glenn-Trinity Community Action Partnership				
Address	420 East Laurel Street				
City	Willows CA 95988				
Executive Director	Scott Gurendi				
Phone	(530) 934-6510	***Ext.***		***Fax***	(530) 934-6521
Email	sgruendi@hra.co.glenn.ca.us				
Energy Programs Mgr.	Bill Wathen				
Phone	(530) 934-1468	***Ext.***		***Fax***	(530) 934-6650
Email	bwathen@hra.co.glenn.ca.us				
Funds (tentative)	$14,704	***Units (tentative)***	6		
Service Area	Colusa, Glenn and Trinity Counties				
Organization Type	County government	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	02				
Comments					

Subgrantee	Community Action Agency of Butte Co., Inc.				
Address	2640 South Fifth Ave				
City	Oroville CA 95965				
Executive Director	Thomas Tenorio				
Phone	(530) 712-2881	***Ext.***		***Fax***	(530) 533-7470
Email	ttenorio@buttecaa.com				
Program Manager	John Pfister				
Phone	(530) 712-2600	***Ext.***	203	***Fax***	(530) 538-7214
Email	jpfister@buttecaa.com				
Funds (tentative)	$66,863	***Units (tentative)***	26		
Service Area	Butte County				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	02 04				
Comments					

IV.1 Subgrantees

Subgrantee	Community Action Commission of Santa Barbara County				
Address	5638 Hollister Avenue, Suite 230				
City	Goleta CA 93117				
Executive Director	Fran Forman				
Phone	(805) 964-8857	***Ext.***		***Fax***	(805) 683-5872
Email	fforman@cacsb,com				
Director of Env. Serv.	Kemba Lawerence				
Phone	(805) 964-8857	***Ext.***	145	***Fax***	(805) 964-6798
Email	klawerence@cscsb.com				

Funds (tentative)	$50,415	***Units (tentative)***	19
Service Area	Santa Barbara County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	23 24		
Comments			

Subgrantee	Community Action Marin				
Address	29 Mary Street				
City	San Rafael CA 94901				
Executive Director	Laurel Hill				
Phone	(415) 526-7511	***Ext.***		***Fax***	(415) 457-9677
Email	jhill@camarin.org				
Program Manager	Richard McKee				
Phone	(415) 526-7519	***Ext.***		***Fax***	(415) 457-9677
Email	dmckee@camarin.org				

Funds (tentative)	$21,002	***Units (tentative)***	8
Service Area	Marin County		
Organization Type	Local action agency	***Sources of Labor***	Subcontractors
Congressional Districts	13		
Comments			

IV.1 Subgrantees

Subgrantee	Community Action of Ventura County Inc			
Address	621 Richmond Avenue			
City	Oxnard CA 93030			
Executive Dir.	Timothy Hockett			
Phone	(805) 436-4028	***Ext.***	***Fax***	(805) 487-2512
Email	thockett@ca-vc.org			
Housing Serv. Mgr.	Dave Olsen			
Phone	(805) 436-4032	***Ext.***	***Fax***	(805) 487-2512
Email	dolsen@ca-vc.org			

Funds (tentative)	$82,824	***Units (tentative)***	32
Service Area	Ventura County and Los Angeles County - Area A		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	23 24 26 27 28 29 30 33		
Comments			

Subgrantee	Community Action Partnership of Kern Co.			
Address	3115 Sillect Ave			
City	Bakersfield CA 93308			
Executive Director	Jeremy Tobias			
Phone	(661) 336-5236	***Ext.***	***Fax***	(661) 326-5236
Email	jtobias@capk.opg			
Wx Manager	Loretta Andrews			
Phone	(661) 336-5283	***Ext.***	***Fax***	(661) 336-5263
Email	landrew@capk.org			

Funds (tentative)	$217,033	***Units (tentative)***	83
Service Area	Kern County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	20 22		
Comments			

IV.1 Subgrantees

Subgrantee	Community Action Partnership of Orange County				
Address	7180 Lampson Avenue				
City	Garden Grove CA 92841				
Executive Director	Buddy Ray				
Phone	(714) 897-6670	***Ext.***		***Fax***	(714) 894-5404
Email	bray@capoc.org				
Program Manager	Sally Andretta				
Phone	(714) 839-0595	***Ext.***	5305	***Fax***	(714) 839-2817
Email	sandreatta@capoc.org				

Funds (tentative)	$158,819	***Units (tentative)***	61
Service Area	Orange County		
Organization Type	Local Action Agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	40 42 44 46 47 48		
Comments			

Subgrantee	Community Action Partnership of Riverside County				
Address	2038 Iowa Avenue, Suite B-102				
City	Riverside CA 92507				
Executive Director	Brenda Freeman				
Phone	(951) 955-3563	***Ext.***		***Fax***	(951) 955-6494
Email					
tbd					
Phone	(951) 955-6404	***Ext.***		***Fax***	(951) 955-6506
Email					

Funds (tentative)	$249,049	***Units (tentative)***	95
Service Area	Riverside County		
Organization Type	County government	***Sources of Labor***	Subcontractors
Congressional Districts	41 44 45 49		
Comments			

IV.1 Subgrantees

Subgrantee	Community Action Partnership of San Bernardino County		
Address	696 S Tippecanoe Ave		
City	San Bernardino CA 92415		
Chief Executive Officer	Patricia Nickols		
Phone	(909) 723-1516	***Ext.***	***Fax*** (909) 723-1509
Email	pnickols@capsbc.sbcounty.gov		
EEES Program Manager	Nicole Strarks-Murray		
Phone	(909) 723-1621	***Ext.***	***Fax*** (909) 723-1629
Email	nstarks-murray@capsbc.sbcounty.gov		

Funds (tentative)	$248,131	***Units (tentative)***	95
Service Area	San Bernardino County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire
Congressional Districts	25 26 41 42 43		
Comments			

Subgrantee	Community Action Partnership of San Luis Obispo County Inc		
Address	3970 Short Street, Suite 110		
City	San Luis Obispo CA 93401		
Director	Elizabeth Steinberg		
Phone	(805) 544-4355	***Ext.***	***Fax*** (805) 541-4188
Email	esteinberg@eocslo.org		
Energy Programs Dir.	Jim McNamara		
Phone	(805) 541-4122	***Ext.*** 11	***Fax*** (805) 541-4188
Email	jmcnamara@eocslo.org		

Funds (tentative)	$30,982	***Units (tentative)***	12
Service Area	San Luis Obispo County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	22 23		
Comments			

IV.1 Subgrantees

Subgrantee	Community Resource Project, Inc. (CRP)				
Address	250 Harris Avenue, Suite 6				
City	Sacramento CA 95838				
Executive Director	Maricela Gallegos				
Phone	(916) 567-5220	***Ext.***		***Fax***	(916) 567-5208
Email	m2g@sbcglobal.net				
Program Manager	Eric Esquivel				
Phone	(916) 567-5220	***Ext.***		***Fax***	(916) 567-5208
Email	erice@cresource.org				
Funds (tentative)	$223,794	***Units (tentative)***	85		
Service Area	Sacramento, Sutter, and Yuba Counties				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire		
Congressional Districts	02 03 04 05 10				
Comments					

Subgrantee	Community Services & Employment Training, Inc. (CSET)				
Address	PO Box 1350				
City	Visalia CA 93279-1350				
Executive Director	Mary Escarsega-Fechner				
Phone	(559) 732-4191	***Ext.***	630	***Fax***	(559) 733-3971
Email	mary.escarsega-fechner@cset.org				
Housing Director	Lily Rivera-Graves				
Phone	(559) 732-4194	***Ext.***	615	***Fax***	(559) 627-1674
Email	lrivera@cset.org				
Funds (tentative)	$137,104	***Units (tentative)***	52		
Service Area	Tulare County				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	21				
Comments					

IV.1 Subgrantees

Subgrantee	Contra Costa Emp. & Human Serv. Dept.			
Address	2530 Arnold Dr			
City	Martinez CA 94553			
Executive Director	Kathy Gallagher			
Phone	(925) 313-1579	***Ext.***	***Fax***	(925) 313-1575
Email	kgallagher@ehsd.cccounty.us			
Program Director	Sung Kim			
Phone	(925) 681-6303	***Ext.***	***Fax***	(925) 313-1576
Email	skim@ehsd.cccounty.us			

Funds (tentative)	$103,173	***Units (tentative)***	39
Service Area	Contra Costa County		
Organization Type	Public agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	07 10 11		
Comments			

Subgrantee	Economic Opportunity Council of San Francisco			
Address	1426 Fillmore Street, Suite 301			
City	San Francisco CA 94115			
Executive Director	Dennis Yee			
Phone	(415) 749-5600	***Ext.***	***Fax***	
Email	dky@pacbell.net			
Program Manager	Glen Lallana			
Phone	(415) 749-6487	***Ext.***	***Fax***	
Email	gleneoc@pacbell.net			

Funds (tentative)	$57,695	***Units (tentative)***	22
Service Area	San Francisco County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	08 12		
Comments			

IV.1 Subgrantees

Subgrantee	El Dorado County Department of Human Services		
Address	937 Spring Street		
City	Placerville CA 95667		
Executive Director	Don Ashton		
Phone	(530) 642-6904	***Ext.***	***Fax***
Email	don.ashton@edcgov.us		
Energy Coordinator	Michelle Hunter		
Phone	(530) 621-6255	***Ext.***	***Fax*** (530) 295-2581
Email	michelle.hunter@edcgov.us		

Funds (tentative)	$58,210	***Units (tentative)***	22
Service Area	Alpine and El Dorado Counties		
Organization Type	County government	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	03 04		
Comments			

Subgrantee	Fresno County Economic Opportunities Commission		
Address	1920 Mariposa Mall, Suite 300		
City	Fresno CA 93721		
Executive Director	Brian Angus		
Phone	(559) 263-1010	***Ext.***	***Fax***
Email	brian.angus@fesnoeoc.org		
Energy Program Director	Nathan Magsig		
Phone	(559) 263-1587	***Ext.***	***Fax***
Email	nathan.magsig@fresnoeoc.org		

Funds (tentative)	$238,043	***Units (tentative)***	91
Service Area	Fresno County		
Organization Type	Local action agency	***Sources of Labor***	Subcontractors
Congressional Districts	18 19 20 21		
Comments			

IV.1 Subgrantees

Subgrantee	Great Northern Corporation				
Address	P.O. Box 20				
City	Weed CA 96094				
Executive Director	Bonnie Kubowitz				
Phone	(530) 938-4115	***Ext.***	23	***Fax***	(530) 938-4117
Email	bkubowitz@gnccorp.org				
Program Manager	Brandy Caporaso				
Phone	(530) 938-4115	***Ext.***	15	***Fax***	(530) 938-4117
Email	bcaporaso@gnccorp.org				

Funds (tentative)	$36,979	***Units (tentative)***	14
Service Area	Siskiyou County		
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	02		
Comments			

Subgrantee	Inyo Mono Advocates of Community Action, Inc. (IMACA)				
Address	P.O. Box 845				
City	Bishop CA 93515				
Executive Director	Charles Broten				
Phone	(760) 873-8557	***Ext.***	23	***Fax***	(760) 873-8182
Email	cbroten@imaca.net				
Community Service Direc	Chad Mitchell				
Phone	(760) 873-8557	***Ext.***	28	***Fax***	(760) 873-8182
Email	cmitchell@imaca.net				

Funds (tentative)	$27,293	***Units (tentative)***	10
Service Area	Inyo and Mono Counties		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	25		
Comments			

IV.1 Subgrantees

Subgrantee	Kings Community Action Organization, Inc.			
Address	1130 N. 11th Ave			
City	Hanford CA 93230			
Executive Director	Jeff Garner			
Phone	(559) 415-7202	***Ext.***	***Fax***	(559) 582-2146
Email	jgarner@kcao.org			
Operations Director	Saul Leal			
Phone	(559) 583-8071	***Ext.*** 103	***Fax***	(559) 415-7488
Email	sleal@kcao.org			

Funds (tentative)	$29,420	***Units (tentative)***	11
Service Area	Kings County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	20		
Comments			

Subgrantee	Lassen County Economic Development Corp.			
Address	P.O. Box 850			
City	Westwood CA 96137			
Executive Director	Debbie Jennings			
Phone	(530) 256-3261	***Ext.***	***Fax***	(530) 256-3531
Email	ledc@citilink.net			
Energy Programs Mgr.	Debbie Jennings			
Phone	(530) 256-3261	***Ext.***	***Fax***	(530) 256-3531
Email	ledc.citilink.net			

Funds (tentative)	$15,713	***Units (tentative)***	6
Service Area	Lassen		
Organization Type	County	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	04		
Comments			

IV.1 Subgrantees

Subgrantee	Long Beach Community Action Partnership - Area D		
Address	3012 Long Beach Blvd		
City	Long Beach CA 90807		
Executive Director	Darick Simpson		
Phone	(562) 216-4606	***Ext.***	***Fax***
Email	dsimpson@lbcap.org		
Program Manager	Marisa Semense		
Phone	(562) 216-4600	***Ext.***	***Fax***
Email	msemense@lbcap.org		

Funds (tentative)	$238,786	***Units (tentative)***	91
Service Area	Los Angeles County - Area D		
Organization Type	Local Action Agency	***Sources of Labor***	Subcontractors
Congressional Districts	26 29 32 34 36 37 38 39 42 46		
Comments			

Subgrantee	Maravilla Foundation		
Address	5729 East Union Pacific		
City	City of Commerce CA 90022		
Executive Director	Alex Sotomayor		
Phone	(323) 869-4501	***Ext.***	***Fax*** (323) 278-7788
Email	alexsot@aol.com		
Program Manager	Manuel Gonzalez		
Phone	(213) 804-4062	***Ext.***	***Fax*** (323) 278-7788
Email	manny@maravilla.org		

Funds (tentative)	$367,513	***Units (tentative)***	141
Service Area	Los Angeles County, Energy Area B		
Organization Type	Nonprofit	***Sources of Labor***	Direct hire
Congressional Districts	22 25 26 27 28 29 31 32 33 34 36 38		
Comments			

IV.1 Subgrantees

Subgrantee	Mariposa County Department of Human Services			
Address	P.O. Box 39			
City	Mariposa CA 95338			
Director	Chevon Kothari			
Phone	(209) 742-0892	***Ext.***	***Fax***	(209) 966-8251
Email	ckotharimsawicki@mariposahsc.org			
Program Manager	Randy Ridenhour			
Phone	(209) 742-0921	***Ext.***	***Fax***	(209) 966-3519
Email	rridenhour@mariposahsc.org			

Funds (tentative)	$27,632	***Units (tentative)***	11
Service Area	Mariposa County		
Organization Type	County government	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	19		
Comments			

Subgrantee	Merced County Community Action Agency			
Address	P.O. Box 2085			
City	Merced CA 95344-0085			
Executive Director	Brenda Callahan-Johnson			
Phone	(209) 723-4565	***Ext.***	***Fax***	(209) 723-4411
Email	brenda@mercedcaa.org			
Program Director	Mike Polinko			
Phone	(209) 723-1225	***Ext.***	***Fax***	(209) 384-7150
Email	mpolinko@mercedcaa.org			

Funds (tentative)	$91,544	***Units (tentative)***	35
Service Area	Madera and Merced Counties		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	18 19		
Comments			

IV.1 Subgrantees

Subgrantee	Metropolitan Area Advisory Committee (MAAC)				
Address	1335 Third Ave				
City	Chula Vista CA 91911				
President / CEO	Arnulfo Manriquez				
Phone	(619) 426-3595	***Ext.***		***Fax***	(619) 426-2173
Email	amanriquez@maacproject.org				
CFO / PM	Patty Bailey				
Phone	(619) 409-7588	***Ext.***		***Fax***	
Email	pbailey@maacproject.org				
Funds (tentative)	$61,060	***Units (tentative)***	23		
Service Area	San Diego County, Energy Area B				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	49 50 51 52 53				
Comments					

Subgrantee	North Coast Energy Services				
Address	P.O. Box 413				
City	Ukiah CA 95482-0413				
Executive Director	Linda McQueen				
Phone	(707) 463-0303	***Ext.***		***Fax***	(707) 463-0637
Email	linda@pacific.net				
Director	Linda McQueen				
Phone	(707) 463-0303	***Ext.***		***Fax***	(707) 463-0637
Email	linda@pacific.net				
Funds (tentative)	$207,630	***Units (tentative)***	79		
Service Area	Lake, Mendocino, Napa, Solano, Sonoma and Yolo Counties				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	01 02 03 07 10				
Comments					

IV.1 Subgrantees

Subgrantee	Pacific Asian Consortium in Employment (PACE)				
Address	1055 Wilshire Boulevard, Suite 1475				
City	Los Angeles CA 90017				
Executive Director	Kerry Doi				
Phone	(213) 989-3213	***Ext.***		***Fax***	(213) 353-1227
Email	kerrydoi@pacela.org				
Program Manager	Kim Train				
Phone	(213) 989-3254	***Ext.***		***Fax***	(213) 353-1227
Email	ktrain@pacela.org				
Funds (tentative)	$273,704	***Units (tentative)***	104		
Service Area	Los Angeles County, Energy Area C				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	31 33 34 35 36 37 39 46				
Comments					

Subgrantee	Plumas County Community Development Commission				
Address	P.O. Box 319				
City	Quincy CA 95971				
Executive Director	roger Diefendor				
Phone	(530) 283-2466	***Ext.***	115	***Fax***	(530) 283-2478
Email	rdiendorf@plumascdc.org				
Wx Program Manager	David Mitchell				
Phone	(530) 283-2466	***Ext.***	117	***Fax***	(530) 283-2478
Email	dmitchell@plumascdc.org				
Funds (tentative)	$13,529	***Units (tentative)***	5		
Service Area	Plumas and Sierra Counties				
Organization Type	County government	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	04				
Comments					

IV.1 Subgrantees

Subgrantee	Project Go, Inc.				
Address	801 Vernon Street				
City	Roseville CA 95678-3149				
Executive Director	Lynda Timbers				
Phone	(916) 782-3443	***Ext.***		***Fax***	(916) 782-1517
Email	lynda@projectgoinc.org				
Program Director	Jennifer Durbin				
Phone	(916) 782-3443	***Ext.***	14	***Fax***	(916) 782-1517
Email	jennifer@projectgoinc.org				
Funds (tentative)	$83,612	***Units (tentative)***	32		
Service Area	Placer & Nevada County				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	04				
Comments					

Subgrantee	Redwood Community Action Agency				
Address	904 G Street				
City	Eureka CA 95501				
Executive Director	Val Martinez				
Phone	(707) 269-2009	***Ext.***		***Fax***	(707) 445-0884
Email	valmartinez@rcaa.org				
Energy & Env Svcs Coor	Kristen Kovacs				
Phone	(707) 444-3831	***Ext.***		***Fax***	(707) 444-3662
Email	kkovacs@rcaa.org				
Funds (tentative)	$75,837	***Units (tentative)***	29		
Service Area	Humboldt and Modoc County (Intermin Del Norte County)				
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	01				
Comments					

IV.1 Subgrantees

Subgrantee	Sacred Heart Community Services			
Address	1381 South First Street			
City	San Jose CA 95110			
Executive Director	Poncho Guevara			
Phone	(408) 476-2653	***Ext.***	***Fax***	(408) 885-9071
Email	poncho@sacredheartcommunityservice.org			
Director of Public Affairs	Darren Seaton			
Phone	(408) 278-2177	***Ext.***	***Fax***	(408) 715-0247
Email	darrens@sacredheartcs.org			

Funds (tentative)	$121,312	***Units (tentative)***	46
Service Area	Santa Clara County		
Organization Type	Local action agency	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	11 14 15 16		
Comments			

Subgrantee	San Joaquin Co. Dept. of Aging, Children's & Comm. Serv.			
Address	P.O. Box 201056			
City	Stockton CA 95201			
HAS Director	Michael Miller			
Phone	(209) 468-1650	***Ext.***	***Fax***	(209) 932-2659
Email	mimiller@sjgov.org			
Program Manager	Kristi Rhea			
Phone	(209) 468-1439	***Ext.***	***Fax***	(209) 932-2659
Email	krhea@sjgov.org			

Funds (tentative)	$113,872	***Units (tentative)***	43
Service Area	San Joaquin County		
Organization Type	County government	***Sources of Labor***	Direct hire and subcontractors
Congressional Districts	11 18		
Comments			

IV.1 Subgrantees

Subgrantee	Self-Help Home Improvement Project, Inc. (SHHIP)				
Address	3777 Meadow View Drive, Unit 100				
City	Redding CA 96002				
Executive Director	Keith Griffith				
Phone	(530) 378-6900	***Ext.***		***Fax***	(530) 378-6910
Email	kgrif@shhip.org				
Program Manager	Scott Berg				
Phone	(530) 378-6910	***Ext.***		***Fax***	(530) 378-6910
Email	sberg@shhip.org				
Funds (tentative)	$73,436	***Units (tentative)***	28		
Service Area	Shasta and Tehama Counties				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	02				
Comments					

Subgrantee	Spectrum Community Services, Inc.				
Address	1435 Grove Way				
City	Hayward CA 94546				
Executive Director	Lara Calvert				
Phone	(510) 881-0300	***Ext.***		***Fax***	(510) 538-1395
Email	lcalvert@spectrumcs.org				
Program Manager	Mark Smtih				
Phone	(510) 881-0300	***Ext.***	235	***Fax***	(510) 538-1395
Email	msmith@spectrumcs.org				
Funds (tentative)	$120,473	***Units (tentative)***	46		
Service Area	Alameda County except Albany, Berkeley and Emeryville				
Organization Type	Nonprofit	***Sources of Labor***	Direct hire and subcontractors		
Congressional Districts	09 10 11 13				
Comments					

IV.2 Production Schedule

	Annual Total
Weatherized Units (Total)	1,674
Reweatherized Units	-

Vehicles and Equipment $5,000 or more Average Cost per Dwelling Unit (DOE Rules)

A.	Total of Vehicles and Equipment Budget	$0
B.	Total Units to be Weatherized, from Production Schedule above	1,674
C.	Units to be Reweatherized, from Production Schedule above	-
D.	Total Units to be Weatherized, plus Planned Reweatherized Units from Production Schedule above (B plus C)	1,674
E.	Average Vehicles and Equipment cost per Dwelling Unit (A divided by D)	$0

Average Cost per Dwelling Unit (DOE Rules)

F.	Total of Funds for Program Operations	$3,176,147
G.	Total Units to be Weatherized, plus Planned Reweatherized Units from Production Schedule above (total from D above)	1,674
H.	Average Cost per Dwelling Unit, less Vehicles and Equipment (F divided by G)	$1,898
I.	Average Cost per Dwelling Unit for Vehicles and Equipment (total from E)	$0
J.	Total Average Cost per Dwelling Unit (H plus I)	$1,898

Estimated Energy Savings Algorithm

DOE Program	**Amount**
Total DOE State Weatherization Allocation	$ 5,275,451
Total Cost associated with Administration, T&TA, Financial and Energy Audits or 15% of allocation	$ 791,318
Subtract the amount entered in line (b) from line (a), for total funds available to weatherize homes	$ 4,484,133
State Average Cost per Home or Nat'l WAP Program Year Average Cost per Home	$ 2,678
Divide the amount entered on line (c) by the amount entered on line (d), for Total Estimated Homes to be Weatherized	1,674
Multiply (e) by 30.5 MBTU for Total Annual Estimated Energy Savings resulting from DOE funds	51,070
All Funding Sources	
Total funds used by the State to weatherize homes (DOE WAP, LIHEAP)	$ 48,228,698
Total cost associated with the administration of Wx funds or 15% of total funds available to wx homes	$ 7,234,305
Subtract the amount entered in line (h) from line (g), for total funds available to weatherize homes	$ 40,994,393
State Average Cost per Home or Nat'l WAP Program Year Average Cost per Home	$ 2,678
Divide the amount entered on line (i) by the amount entered on line (j), for Total Estimated Homes to be Weatherized	15,308
Multiply (k) by 30.5 MBTU for Total Annual Estimated Energy Savings resulting from all funding sources	466,885

Line
(a)
(b)
(c)
(d)
(e)
(f)
(g)
(h)
(i)
(j)
(k)
(l)

IV.4 DOE-Funded Leveraging Activities

CSD has no planned DOE-funded leveraging activities this year.

IV.5 State Policy Advisory Council Roster

Service Provider Name	Name	Title
Amador-Tuolumne Community Action Agency (ATCAA)	Shelly Hance	Executive Director
Campesinos Unidos, Inc.	Jose Lopez	Executive Director
Central Coast Energy Services, Inc.	Dennis Osmer	Executive Director
Central Valley Opportunity Center, Inc. (CVOC)	Ernie Flores	Executive Director
Colusa-Glenn-Trinity Community Action Partnership	Scott Gurendi	Executive Director
Community Action Agency of Butte Co., Inc.	Thomas Tenorio	Executive Director
Community Action Commission of Santa Barbara County	Fran Forman	Executive Director
Community Action Marin	Laurel Hill	Executive Director
Community Action of Ventura County Inc	Timothy Hockett	Executive Dir.
Community Action Partnership of Kern Co.	Jeremy Tobias	Executive Director
Community Action Partnership of Orange County	Buddy Ray	Executive Director
Community Action Partnership of Riverside County	Brenda Freeman	Executive Director
Community Action Partnership of San Bernardino County	Patricia Nickols	Chief Executive Officer
Community Action Partnership of San Luis Obispo County Inc	Elizabeth Steinberg	Director
Community Resource Project, Inc. (CRP)	Maricela Gallegos	Executive Director
Community Services & Employment Training, Inc. (CSET)	Mary Escarsega-Fechner	Executive Director
Contra Costa Emp. & Human Serv. Dept.	Kathy Gallagher	Executive Director
Economic Opportunity Council of San Francisco	Dennis Yee	Executive Director
El Dorado County Department of Human Services	Don Ashton	Executive Director
Fresno County Economic Opportunities Commission	Brian Angus	Executive Director
Great Northern Corporation	Bonnie Kubowitz	Executive Director
Inyo Mono Advocates of Community Action, Inc. (IMACA)	Charles Broten	Executive Director
Kings Community Action Organization, Inc.	Jeff Garner	Executive Director
Lassen County Economic Development Corp.	Debbie Jennings	Executive Director
Long Beach Community Action Partnership - Area D	Darick Simpson	Executive Director
Maravilla Foundation	Alex Sotomayor	Executive Director
Mariposa County Department of Human Services	Chevon Kothari	Director
Merced County Community Action Agency	Brenda Callahan-Johnson	Executive Director
Metropolitan Area Advisory Committee (MAAC)	Arnulfo Manriquez	President / CEO
North Coast Energy Services	Linda McQueen	Executive Director

IV.5 State Policy Advisory Council Roster

Service Provider Name	Name	Title
Pacific Asian Consortium in Employment (PACE)	Kerry Doi	Executive Director
Plumas County Community Development Commission	roger Diefendor	Executive Director
Project Go, Inc.	Lynda Timbers	Executive Director
Redwood Community Action Agency	Val Martinez	Executive Director
Sacred Heart Community Services	Poncho Guevara	Executive Director
San Joaquin Co. Dept. of Aging, Children's & Comm. Serv.	Michael Miller	HAS Director
Self-Help Home Improvement Project, Inc. (SHHIP)	Keith Griffith	Executive Director
Spectrum Community Services, Inc.	Lara Calvert	Executive Director

IV.5 State Policy Advisory Council Roster

Organization Name	Name
California Public Utilities Commission	Hazlyn Fortune
IDEATE California	Jose Atillo Hernandez
Pacific Gas & Electric	Mary O'Drain
Sempra	Joy Yamagata
So Cal Edison	Jack Parkhill

IV.6 Public Hearings

Public hearing is scheduled to be held on April 29, 2015, at 10:00am in Sacramento, CA

Legal ad notice for the hearing ran in the following newspapers on April 14, 2015:

- Sacramento Bee
- Redding Record Searchlight
- La Opinion

See Attachment K Public Hearing Transcripts.

IV.7 Miscellaneous

Recipient Business Officer

Kathy Andry
Deputy Director of Energy and Environmental Services Division
Kathy.Andry@csd.ca.gov
916-576-7132

Recipient Principal Investigator

Leslie Campanella
Program Manager, Technical Support Unit
Leslie.Campanella@csd.ca.gov
916-576-7131

State Historic Preservation

CSD entered into a programmatic agreement with the California Energy Commission, Department of Energy, California State Historic Preservation Office regarding Section 106 compliance (see Appendix D). By agreement, categories of individual measures were established that are exempt from SHPO review. These measures were determined not to have the potential to adversely affect any historic properties of the dwelling. For those measures that are non-exempt, a review is conducted on the dwelling to determine if the dwelling is of historical significance. A web-based approval system was developed by CSD to expedite the process.

Redistribution of Funds

If it is determined in the future that a Subgrantee cannot meet their production goals, funding may be redistributed to another Subgrantee who has the capacity to spend out. Funding may also be redistributed if a Subgrantee is not in compliance with program requirements or other extenuating circumstances.

Redistribution of funds may occur when a Subgrantee has determined that DOE funds are insufficient to administer and maintain the DOE program at the local level. In this event, funds may be redistributed to another Subgrantee to provide services in the affected area or redistributed to the network and services in the affected area will resume in the subsequent year.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

To define low-income, CSD uses the federal poverty level of 200% as determined by the Office of Management and Budget. Household income eligibility is established and documented prior to weatherization of the dwelling. Subgrantees are required by contract to maintain individual client files which contain at a minimum the intake form, copies of source documents supporting eligibility, client education confirmation, client permissions and confirmations, dwelling assessments, job costs documentation, permits, energy audit or priority list documentation, RRP compliance reports and inspection documentation, when applicable.

Eligibility is based on the household's total monthly gross income, which cannot exceed the income guidelines (Attachment D CSD 2015 Eligibility and Verification Guide and Attachment E). Subgrantees are required to target households with lowest incomes and high energy costs, while taking into consideration households with elderly, disabled persons and children under nineteen.

Weatherization services are only provided to those eligible households that meet the criteria included in the CSD 2015 Eligibility and Verification Guide (Attachment D).

V.1.2 Approach to Determining Building Eligibility

After client eligibility has been confirmed, Subgrantees perform dwelling assessments and applicable diagnostics on eligible structure types, Occupants and/or property owners are notified of the specific work to be done and the need for any structural changes before work commences. If during the course of weatherization additional structural changes are identified, Subgrantees notify the occupants and/or property owner prior to continuing with the scheduled work. If the dwelling is found to be unsafe or structurally unsound during the assessment or weatherization process, the dwelling may be deferred.

<u>Reweatherization</u>

Weatherization services for a dwelling unit previously weatherized using DOE Funds are not allowable except if (1) a dwelling unit has been damaged by fire, flood, or act of nature and repair of the damage to weatherization materials is not paid for by insurance or (2) a dwelling unit weatherized using DOE WAP or other Federal program funds prior to September 30, 1994, needs further weatherization assistance.

Per WPN 11-3, CSD notifies DOE of any call-back/add-on work for units previously reported as completed when DOE funds will be used to complete the additional work on the units. The units are taken out of the DOE reporting system and re-submitted once the work is complete. Subgrantees are strongly encouraged to use other non-DOE funds to do additional weatherization work on units previously weatherized after September 30, 1994.

Eligible Structures

Single-family dwellings, mobile homes and small and large multi-family buildings are all eligible structures under the program. Subgrantees are also encouraged to weatherize group homes, rooming houses, and shelters, particularly those for the homeless, battered, or troubled. Specific criteria must be met to ensure eligibility of the group home, rooming house, or shelter. The eligibility of facilities occupied by transient persons may be certified by the owner/manager based on the facility policy of limiting occupancy to those meeting contract eligibility requirements. If a group home or rooming house does not qualify as a multi-family structure, income eligibility is based on all occupants as a group, and the building must be weatherized as a single dwelling unit.

Non-stationary campers and trailers are not allowed to receive weatherization services. Manufactured homes regulated by HUD that are built on a trailer chassis and designed for highway delivery to a permanent location are eligible and can be a single-, double-, or triple-wide home. To receive weatherization services, a manufactured home must be a permanent, full-time residential dwelling with a floor area of at least 330 square feet.

Rental Units

To ensure that the benefits of weatherization to occupants of rental units are protected, CSD’s contracts require Subgrantees to assure that owners and renters receive equitable treatment under this program and no undue enhancements to the dwelling occur.

Language is included on all energy service agreement forms to prevent raising rents within two years, confirmation of complaint procedures, confirmation that the property is not for sale and permission to enter the property for purposes of this program. The agreements are signed by owner/occupants, tenants and rental property owners prior to the dwelling receiving weatherization services.

Failure of the Contractor to enforce this Agreement upon breach by the Owner shall not be construed as a waiver of the Contractor's right to enforce this Agreement.

No particular type of dwelling was identified as being more prone to higher energy consumption, and single-family, multi-family, owner-occupied, and rental units are accorded equal consideration for service provision.

Where occupancy by otherwise eligible occupants is not maintained as a permanent residence, occupancy must be limited to no more than ninety (90) days, and whether or not rent is paid has no effect on eligibility. Payment will be based on the unit's qualifying as a multi-family structure or a group home.

When complaints are received at the State directly from clients, clients are generally referred back to the Subgrantee for resolution with instructions to submit appeals in writing to the Subgrantee. The Subgrantee has 15 days to respond to an appeal and, if denied, the client is given instructions on how to appeal the decision to the State where a fair hearing may take place. Complaints specifically regarding increases in rents as a result of weatherization services provided would follow the same general guideline except that the Subgrantee would work directly with the property owner to resolve the issue.

Multi-Family Dwellings

CSD has established a program to increase weatherization in qualifying multi-family units. The program, based on DOE Program Notice 10-15, streamlines the qualification of certain HUD and USDA multi-family properties for weatherization work, including streamlining income eligibility determination and ensuring that benefits accrue primarily to the low-income residents. CSD has trained its providers in applying this streamlined process and continues to work with individual providers to encourage weatherization in multi-family units. The number of large multi-family building projects to be weatherized is predicated upon amount of available funding in any given program year.

All dwellings in multi-family buildings can only be weatherized when 66% of the dwellings are determined to be eligible. The 50% rule is only applicable to duplexes and four-plexes.

Deferral

Deferral takes place upon discovery, or as soon as practicable, of circumstances giving rise to feasibility of a given measure or other issue causing the installation of weatherization measures to be deferred. The CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client. If a condition is present that presents a hazard or unsafe condition affecting the health and safety of workers or clients/occupants, the hazard is resolved if feasible and within scope of WAP. Further detail of deferral conditions is provided in the each section of the CSD Health and Safety Plan (Attachment J). The plan has been updated to incorporate ASHRAE 62.2 (2013).

V.1.3. Definition of Children

"Children" are defined as members of a household who have not attained their nineteenth (19th) birthday.

V.1.4 Approach to Tribal Organizations

The State ensures that low-income members of the American Indian population receive services equivalent to the assistance provided other low-income persons within the State. CSD recommends that a tribal organization not be treated as a local applicant due to the very low amount of funding that would be available to their organization. The funding would not be enough to start-up and sustain a localized program.

V.2 Selection of Areas to Be Served

CSD's goal is to serve low-income residents in all 58 California counties. A service area may be a portion of a county, an individual county, or a group of counties. The projected funding, goals, and other information for each service area are set forth in Subgrantee Information in the Annual File.

The 2013 and 2014 DOE WAP funding did not provide adequate funds to support the statewide delivery of DOE WAP services on an annual basis. CSD's efforts to provide statewide coverage resulted in small rural counties receiving minimal funding. This minimal funding allocation failed to provide adequate funding resources to support the effective administration and delivery of DOE WAP services. CSD reserved unexpended 2013 and 2014 funds for the effected service areas and carried forward these amounts to the 2015 DOE WAP grant terms for expenditure. It should be noted that all Subgrantees receive funding under CSD's Low-Income Home Energy Assistance Program providing an array of energy assistance services including weatherization. Going forward, CSD will monitor DOE WAP annual funding levels and work with the Policy Advisory Council to explore more effective methods to administer annual DOE WAP grant awards when funds are inadequate to support delivery.

V.3 Priorities for Service Delivery

The CSD contract with Subgrantees requires that service priority shall be given to elderly persons, persons with disabilities, families with children, high residential energy users and households with a high energy burden. Subgrantees may give first priority for services to those households whose members have life-threatening emergencies. "Children" are defined as members of a household who have not attained their nineteenth (19th) birthday.

V.4 Climatic Conditions

CSD currently uses the U.S. Climate Zone Map provided by the California Energy Commission (CEC) which consists of sixteen climate zones. To be more consistent with the applicability of California Title 24 requirements and to remove the subjectivity related to using weather stations, the CEC climate zones replaced the DOE climate zone map. New priority lists were developed for those site-built dwellings, mobile home and multi-family buildings existing in all climate zones. The Subgrantees use the data included in the Priority List Policy (Attachment E) or Single-Family/Small Multi-Family Energy Audit Protocol (Attachment F) to customize the energy audit for dwellings to be weatherized.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

All weatherization work is performed in accordance with DOE-approved audit procedures and 10 CFR 440 Appendix A. CSD has developed several documents to guide Subgrantees in the proper delivery of weatherization services. The primary field guidance is the CSD Weatherization Installation Standards (WIS Rev. April 2015) and CSD Field Guide (Rev. April 2015) which serves as a benchmark for doing quality workmanship and a tool for measuring quality performance. CSD has also released the Energy Single-Family/Small Multi-Family Energy Audit Protocol (Attachment F), Priority List Policy (Attachment E) and Multi-Family Energy Audit Protocol (Attachment G) offering further detail about specific measures and their installation hierarchy. CSD issues Energy CSD Program Notices to introduce new policies related to such subjects as asbestos removal, callbacks and audit protocols. In addition, CSD has developed a web-based weatherization FAQ and technical assistance hotline manned by CSD technical staff.

The WIS has been updated to incorporate the new Standard Work Specifications for Home Energy Upgrades (SWS) and is limited to material and installation specifications. The CSD Field Guide has been developed to provide guidance on key work procedures, outline of all field policies for the Subgrantees and works in conjunction with the WIS.

CSD contracts currently contain language that requires Subgrantees to adhere to the latest version of WIS and Field Guide, Energy Program Notices, OMB and other federal and state guidelines and regulations. When subcontracting, Subgrantees are required to include all program requirements in their subcontractor contracts. Refer to Attachment Q WPN 14-4 Quality Work Plan Requirements.

V.5.2 Energy Audit Procedures

DOE approved CSD's Energy Audit Tool and Priority List on October 4, 2010. This approval covered: (1) the use of REM/Design for single-family dwellings, mobile homes and multifamily buildings with 25 or fewer dwelling units, where each unit is independently heated and cooled, and has its on domestic hot water heater; (2) the use of TREAT for all multifamily buildings, except REM/Design may be used for those multifamily buildings of 25 or fewer units, as specified above; and (3) the use of the DOE Priority List as designated for single-family dwellings, mobile homes and multi-family buildings 25 or fewer units as specified above. Large multifamily buildings where the TREAT energy audit is applicable are 100% energy audit-driven. DOE also approved the CSD Single-Family/Small Multi-Family Energy Audit Protocol (Attachment F) and CSD Multi-Family Energy Audit Protocol (Attachment G).

CSD is currently analyzing DOE-sponsored audit tools and updating the DOE Priority List and audit protocols to meet requirements as outlined in WPN 13-5. The analysis will be submitted to DOE by September 4, 2015, for review and approval as required.

V.5.3 Final Inspection

Currently, Subgrantees are required to review and inspect all dwellings weatherized. A statement certifying that all required measures were installed in accordance with contract requirements, CSD Weatherization Installation Standards and CSD Field Guide shall be noted on CSD Weatherization Dwelling Assessment and shall be signed and dated by the installer.

Subgrantees are required to have 100% of their completed units inspected by a Certified Quality Control Inspector who has not performed any of the weatherization work on the inspected unit, has not assessed or audited the same unit and has met CSD training and DOE certification requirements. For very small Subgrantees, staffing is so limited that it is not feasible to have a separation of duties between an assessor/auditor and inspector. Exemptions will be granted on a case-by-case basis. In those cases, the number of CSD inspections will be increased to a minimum of 10%. Due to the low number of completed dwellings in these cases, it is possible that close to 100% of the units will be inspected.

If there is not a Certified Qualify Control Inspector on staff, the Subgrantee is required to contract with a neighboring Subgrantee or another qualified third party to perform the required inspections.

CSD inspections of installed weatherization measures are performed by a contracted third party and CSD QC inspectors. These inspections are comprised of a sampling of homes weatherized and in-progress. Diagnostic tests are re-performed on a sampling of dwellings to ensure that the tests are being properly applied. Statewide standards for the installation of weatherization measures and inspections of homes weatherized by energy providers will help assure that weatherization measures are being installed properly.

Prior to the beginning of the Subgrantee contract term, CSD is currently implementing a training and certification plan to certify a sufficient number of certified inspectors to meet DOE requirements. All completed dwellings will be inspected by certified inspectors beginning of the Subgrantees' contract term. Refer to Attachment Q WPN 14-4 Quality Work Plan Requirements.

V.6 Weatherization Analysis of Effectiveness

- How the effectiveness of Subgrantee weatherization is assessed?

  - In evaluating the effectiveness of Subgrantees, criteria such as the lack of units completed, the number and complexity of the measures applied to completed units, the number and types of inspection findings, the percentage of contracted funds expended, and a high level of Subgrantee staff turnover will be assessed. CSD's Field Representatives, who also review the percentage of funds expended and percentage of goals attained, will base the evaluation of each Subgrantee's effectiveness on the findings during desk and on-site programmatic evaluations.
  - Annual on-site monitoring visits are conducted for each Subgrantee. As part of the Field Operations Unit's 2015 Monitoring Scope, the CSD Field Representatives will request various Policies and Procedures, as well as, additional written documentation, from a Subgrantee. The purpose of such a request is to satisfy a specific contractual requirement and to ensure that the agency has sufficient internal controls in place to formally attest to the agency's effectiveness. Written Policies and Procedures provides clarity when dealing with accountability issues or activities that are of critical importance to the organization, such as, legal liabilities, contractual requirements, and issues with significant implications. In addition, written Policies and Procedures ensure consistencies in an organization's day-to-day operations by preventing misunderstandings and loss of knowledge.
  - The department currently collects individual dwelling data electronically from each Subgrantee into a weatherization repository. On an as needed basis, extensive data is exported and reviewed for various inconsistencies, cost allowances, reasonableness of costs and program compliance. Development of automatic comprehensive analysis and reporting of the data and enhanced reporting is continuing.
  - Findings and observations will sometimes lead to changes in monitoring and inspection protocols, field and programmatic policies and weatherization contracts. All changes are discussed and reviewed with a representative group of Subgrantees before enactment. Training may be required depending upon the nature of the change. This helps ensure that changes are effectively communicated and implemented.

- How productivity and energy savings between Subgrantees are compared?

  - Data from the summary reporting database that CSD currently uses is entered into a performance worksheet where comparisons are made. Reports are being developed for CSD's weatherization repository database and will be implemented this year. This will provide readily available comparisons of productivity and energy savings including other factors such

as priority list and energy audit application, measure quantity and cost comparisons and other potential program compliance issues

- How the comparisons are used in the development of T&TA activities and priorities?

  - The development of T&TA activities and priorities are based upon several factors with comparisons being only one of them. Subgrantees whose production is low in comparison to others are contacted by field staff and, if necessary, executive management to discuss barriers and problem resolution including mentoring or training. Additionally any deficiencies identified through on-site programmatic and inspection visits could result in training referrals. If issues are widespread, webinars and/or online trainings are developed and delivered on a statewide basis.

- How is the training capability being assessed and how is the Grantee incorporating monitoring feedback?

  - When programmatic monitoring or field inspection visits result in identifying a need for training, the issue is discussed with Subgrantees as part of their exit interviews and through their formal monitoring and inspection reports. Training referrals may be issued and forwarded to the Technical Support unit who coordinates any field-related training. Programmatic training or mentoring can be provided by field representative while on-site or by Technical Support at a later date. More severe problems can result in multiple visits by field and QA staff to assess improvement and the need for additional training. The technical support staff may be required to provide additional on-site mentoring or conduct comprehensive investigations.

- What is the Grantee doing to be on a path of continuous improvement?

  - Every year the field monitoring and quality assurance inspection tools are updated to improve their effectiveness and to incorporate changes to address new issues identified throughout the previous year. Of significant value is the continued work on the department's web-based weatherization repository. More stringent data transfer rules have been developed and implemented at the local level which will lead to improved data collection. Automated assessment and diagnostic forms will also be implemented this year and provide added value in the field

- How is the Grantee tracking Subgrantee performance reviews?

  - On an on-going basis, findings by Field Representatives and the CSD QCI team are tracked in a spreadsheet to ensure that action plans are completed and inspection findings are rectified and closed. Significant findings can lead

to a high-risk designation where special conditions can be applied and additional on-site visits and financial reviews can occur.

- If a Subgrantee has failed final inspections, how are things improving?
  - Over the period of four years, CSD has seen a significant drop in hazardous fails from our state inspections. Failures in other areas have also improved. We expect to see a drop in paper fails, diagnostic issues and installation priority problems once automated assessment and diagnostic forms are fully implemented this year.
- If a Subgrantee has management findings or concerns cited as a result of Grantee monitoring or audit proceedings, how are things improving?
  - Because of the higher standards initiated for ARRA and the department's new Cap & Trade program, CSD monitoring tools have continuously improved. With more advanced tools and training resources currently at our disposal, CSD is able to identify and address issues sooner. CSD has had to place a couple of Subgrantees on a high risk status and remove one from the program since the onset of ARRA, however, significant improvements have been made to enable a return to normal status in some cases. These improvements are due in part to several site visits, consultations and field training.
- What are the management mechanisms being put in place this year to affect improvement?
  - Subgrantees are required to upload data into a centralized weatherization repository system on a monthly basis as part of CSD's reimbursement process. Once received, the data is now subjected to a variety of validations which could lead to rejected records. This will greatly improve the quality of the data being received. CSD is currently designing specific reports to identify compliance issues and provide statistical feedback for administrative purposes.
- Are there technical and financial systems that have been reviewed?
  - Data transfer rules were issued to the four software vendors who provide reporting software at the local level for the Subgrantee network. From a review perspective, the systems have to incorporate these rules in order to successfully upload data and have it pass the validations that have been implemented. During the upcoming year, these data transfer rules will be expanded and enhanced to validate additional programmatic requirements.
- What has the Grantee done in the area of market analysis to ensure particular measures are being costed accurately?

- During on-site monitoring visits, Subgrantees are asked to provide backup documentation to support specific line items from their summary expenditure reports. Any discrepancies that cannot be explained become a finding and a possible disallowance. Bid documents and subcontracts are also reviewed particularly when costs do not appear to be appropriate or reasonable. When necessary, an auditor will make an on-site visit to investigate any costs that are deemed inappropriate or inaccurate.

V.7 Health and Safety

Subgrantees will be authorized to mitigate health and safety hazards within the scope of the weatherization program pursuant to the CSD Health & Safety Plan, CSD Policies and Procedures, and CSD Weatherization Standards and Field Guide. Subgrantees shall correct all safety hazards resulting from weatherization measure installation and relating to heating/cooling sources such as combustion appliances (carbon monoxide, back-drafting, etc.) and indoor air quality (adding mechanical ventilation, addressing excessive moisture, and installing carbon monoxide alarms). A combustion appliance safety check shall be performed on all dwelling units that contain gas appliances. Clients are informed in writing of any health and safety issues that are found in the dwelling that cannot be remediated within the parameters of the weatherization program.

Subgrantees will work in a lead-safe manner and will comply with the Environmental Protection Agency rules in 40 CFR Part 745, Lead; Requirements for Hazard Education Before Renovation of Target Housing; Final Rule, on applicable dwellings and the CSD Lead-Safe Weatherization Policy. The CSD Weatherization Installation Standards (WIS), CSD Field Guide, LSW Policies and LSW training have been updated to meet the latest DOE and EPA LSW requirements.

Health and Safety Plan was updated on April 10, 2015. CSD has updated its standards to incorporate the new ASHRAE 62.2-2013 and SWS requirements. CSD submitted a request to DOE opting to incorporate Addendum B of the ASHRAE 62.2-2013 standard effective May 1, 2015 The CSD Health and Safety Plan, forms and standards have been revised to reflect the new requirements and calculations.

Each Subgrantee is limited to an average expenditure for health and safety hazard mitigation of nineteen percent (20%) of total program expenditures (less administrative, training and technical assistance, liability insurance and purchases of vehicles and equipment over $5,000). California's older housing stock require a larger investment of health and safety measures to resolve carbon monoxide hazards and other health and safety concerns as required by California's state and local building codes. Over the last several years, CSD has deferred more of the health and safety services to its LIHEAP heating and cooling program. Anticipating that health and safety services remain constant, CSD expects that the DOE grant will assume its share of health and safety costs consistent with expenditures levels. Additionally, although several Subgrantees leverage their DOE WAP program with utility weatherization programs, the narrowly defined standards of these programs limit the replacement of combustion appliances to owner-occupied units only. Another contributing factor is the temperate climate zones in some parts of the state where the investment in standard weatherization measures is proportionately lower; however, health and safety services remain constant.

Due to leveraging, records from DOE ARRA, DOE WAP and LIHEAP Weatherization for the periods July 1, 2009, through the present were used in determining the average Health and Safety costs per dwelling. The actual rate was increased by .1.27% to offer a minimal accommodation to those Subgrantees that do not have as many leveraging opportunities or regularly encounter older housing stock.

Measure	Average Cost	Frequency	Total Per Completed Dwelling
Alarm, CO	$73.04	72.46%	$52.92
Alarm, Smoke	$91.59	31.76%	$29.09
Cooling Appliance Repair	$229.97	2.13%	$4.91
Cooling Appliance Replacement	$1,251.00	3.15%	$39.38
Heating Appliance Repair	$176.84	10.70%	$18.92
Heating Appliance Replacement	$2,299.12	6.68%	$165.18
Water Heating Appliance Repair	$141.10	9.34%	$13.18
Water Heating Appliance Replacement	$1,038.41	4.21%	$43.71
Kitchen Exhaust System	$116.84	6.27%	$7.32
Mechanical Ventilation	$894.87	0.46%	$4.14
Lead Safe Weatherization	$33.94	10.26%	$3.48
Average Health & Safety Per Dwelling			$382.20
Average Program Operations Per Dwelling			$2040.54
Health & Safety Rate Calculated			18.73%
Health & Safety Rate Budgeted			20.00%

Note: Smoke and CO alarms are not installed or replaced if pre-existing alarms meet all requirements for location, age and operability in accordance with CSD WIS and ASHRAE 62.2-2013.

.

Health and safety costs will be tracked on a separate line item in the budget and the expenditure reports and will not be included in the average cost per dwelling.

V.8 Program Management

V.8.1 Overview and Organization

CSD is one of several departments under the auspices of the California Health and Human Services Agency (CHHSA). The weatherization program within CSD consists of a team approach using Program Analysts, Field Representatives, internal QCI staff, the Fiscal and Contracts Units, and the services of third-party consultants for dwelling inspections and training and technical assistance.

CSD has 38 weatherization Subgrantees statewide. These Subgrantees also provide LIHEAP-funded services. Because of the coordination of services between these weatherization programs, a number of dwelling units will have measures installed using funds from DOE WAP and Department of Health and Human Services (DHHS) LIHEAP funds. The Subgrantee Information section of the Annual File lists CSD's Subgrantees, addresses, service areas, types of organizations, tentative allocations, congressional districts, and dwelling unit goals.

Weatherization activities to eligible low-income dwellings will focus on providing the most cost-effective measures, checking for health and safety hazards, and providing blower door-driven infiltration reduction. Subgrantees shall follow the DOE-Approved Priority List of cost-effective energy conservation measures. A prescribed list of general heat waste measures shall be allowable for all dwelling types as feasible.

The replacement of heating and cooling systems and windows for energy efficiency reasons are only feasible when a savings-to-investment ratio (SIR) of one or greater as determined by the approved energy audit. When an energy audit is conducted, feasible measures included on the priority list are subject to the audit and the priority list is abandoned.

Commonly installed measures and diagnostic testing include combustion appliance safety test, carbon monoxide alarms, infiltration reduction, and ceiling insulation. The replacement of refrigerators does not include stand-alone freezers or through-the-door ice or water units.

<u>Allocation Formula</u>

CSD, working in conjunction with a representative group of service providers, updated and developed a new allocation formula effective Program Year 2014. The formula consisted of three factors: 2010 census and heating and cooling degree day data and updated utility and fuel cost information.

<u>Subgrantee Selection</u>

To promote leveraging and increase effectiveness of the DOE WAP program, CSD elects to administer the DOE WAP program through its existing LIHEAP Subgrantees who currently perform the full complement of LIHEAP services including weatherization, emergency heating and cooling, and utility assistance services. LIHEAP Subgrantees along with their designated service territory were grandfathered in accordance with California Government Code section 16367.5. This Subgrantee network is comprised of Community Action Agencies or public or nonprofit entities that have over 40 years of experience in providing public assistance programs to the low-income clientele in their respective communities.

Performance Analysis

Subgrantees are evaluated through on-site monitoring, inspections and reporting to ensure satisfactory performance by a consideration of factors, including but not limited to, the following:

- The quality of work, as demonstrated by the Subgrantee's experience in administering and conducting weatherization activities;
- The ability to use diagnostic equipment (i.e. blower door and indoor air quality testing equipment) and any DOE-approved automated residential energy audit used to identify measures to be installed;
- The extent to which a Subgrantee has achieved, or is achieving, weatherization expenditure and unit production goals (in past or current programs) in a timely fashion;
- The ability to coordinate and leverage funds with other low-income energy conservation programs and/or social service programs;
- The ability to secure volunteers, train participants and public service employment workers, and establish partnerships with the local business community to expand the existing workforce; and
- The ability to meet contractual obligations, adhere to applicable federal and state laws, and maintain adequate internal accounting and fiscal controls.

V.8.2 Administrative Expenditure Limits

CSD will retain five percent (5%) of the allowable ten percent (10%) administrative funds; Subgrantees will also receive five percent (5%) for administration. Due to limited funding, Subgrantees allocated $350,000 or less will not be provided the opportunity to apply to CSD for approval to use up to an additional five percent (5%) of their funding for administration.

V.8.3 Monitoring Activities

Overview

Training and technical assistance funds will be used to perform assessments of each Subgrantee, consisting of monthly and quarterly desk reviews and on-site monitoring visits for the purpose of developing a systematic approach to reviewing fiscal, programmatic and reporting compliance. Areas to be focused on through on-site monitoring visits include: client file folders for supporting documentation of program eligibility and job costs; appropriate signatures and dates on all required forms to certify that all measures were installed per contract requirements and CSD Installation Standards and Field Guide; weatherization material inventory systems and controls; internal controls to discourage waste, fraud, and abuse of Subgrantee assets; procurement policies; cost-effective weatherization measures; weatherization crew safety procedures; and client education and materials relating to the care and cost-effectiveness of the measures installed. The same approach to monitoring is applied to the LIHEAP program.

Field Representative and CSD inspector salaries are charged to T&TA at a rate of 70% and 80% respectively and is leveraged with LIHEAP. Travel is also leveraged with LIHEAP and has been budgeted at $16,400 for monitoring purposes. An additional $3,000 is budgeted for meetings and special investigations by the Technical Support Unit should the need arise.

Monitoring Approach

CSD conducts annual on-site and desk monitoring of Subgrantees to ensure that Subgrantees meet the performance goals, administrative standards, financial management requirement, and other requirements of the DOE WAP program and CSD contracts and weatherization standards. Program and fiscal monitoring will be used to determine the program and operational effectiveness of Subgrantees. Findings based on unauthorized measure installation, billing discrepancies, client and dwelling ineligibility may result in disallowed costs.

CSD has four units who perform monitoring functions in various capacities. Some of the monitoring is performed on identical subject matter but with different perspectives and criteria. Due to the overlap, a table has been prepared to illustrate responsibilities under each unit. Refer to Attachment S Monitoring – Areas of Responsibility.

CSD's monitoring program consists of the following strategies:

- Programmatic and Management Monitoring
    - Subgrantee Review

- Monitoring tools are reviewed and updated annually. The tool addresses but is not limited to: administrative review (separation of duties, conflict of interest, inventory management, record retention, complaint management and procurement); fiscal review (cost allocation, billing process, line-item reconciliation, expenditure status and benchmarks, working capital advance, accounts payable aging); and programmatic review (prior monitoring issues, eligibility, client file review, diagnostic testing, reweatherization, SHPO).
- Field representatives conduct monthly and quarterly desk assessments which include but are not limited to, an evaluation of the Subgrantee's expenditure performance; adherence to budget restrictions; timeliness of reports; and operational deficiencies. Noted concerns will be brought to the attention of the Executive Director and/or Board Chair for resolution that may result in an on-site visit or increased reporting, such as comprehensive monthly evaluations.
- CSD quality assurance inspectors conduct inspections of completed and in-progress work on a minimum of 5% of completed dwellings. The percentage of inspections will be increased when warranted.
- All contracts, program notices, policies, audit protocols and installation standards are available electronically through the CSD provider website. Installation standards can be downloaded for easy access in the field.
- There is a separate web-based system that tracks and facilitates approval of work to be performed on homes who meet the SHPO criteria.

o Financial/Administrative

- Accounting systems and weatherization reporting software are noted in the Subgrantee working files. A consolidated list is maintained of what software (out of four) is used for reporting weatherization and utility assistance activities and expenditures.
- Program notices have been issued for procurement, capped budgetary line items, program income and contract Implementation options (in-house crews vs. subcontractors) as guidelines for Subgrantees to meet OMB and contract requirements.
- Monthly and quarterly reviews are conducted to track expending of capped line items and other program requirements including inspections. Subgrantees are contacted if spending in a line item is very disproportionate to other activities or the proper number of inspections has not been completed.
- Subgrantees are required to submit proof of liability insurance before contract execution.

o Equipment/Inventory/Materials

- Subgrantees are required to have inventory policy and procedures that include processes to ensure adequate safeguards to prevent loss,

damage and theft and proper accounting. Records are to be maintained of all equipment purchased with Federal grant funds and utilization and continued need for the equipment.

- CSD issued a program notice outlining policy for the procurement of goods and services. Subgrantees are required to have a written procurement policy in place that demonstrates that a competitive bid process is conducted and that purchases over $5,000 receive CSD and DOE approval prior to purchase.
- Subgrantees are required to have a written conflict of interest policy in place and cannot permit any organizational conflicts of interest or noncompetitive practices that may restrict or eliminate unfair competitive advantage or otherwise restrain trade.
- Subgrantees are required to have a written vehicle and equipment disposition policy.

o Eligibility

- CSD issues an annual eligibility guide (Attachment D CSD Eligibility and Verification Guide) that outlines eligibility criteria, income verification, energy cost verification and appeal processes. An intake form (automated and/or hard copy) is completed by Subgrantees that includes all of the necessary requirements to quality clients.
- Client data maintained in CSD's repository includes client demographics, household income and energy costs for federal reporting and monitoring purposes.
- CSD issued new policy guidance clarifying required compliance with the re-weatherization rule and requiring certification by each Subgrantee of their processes for verifying eligibility of homes. State guidance CPN-E 12-07 went into effect November 1, 2012. CSD has also updated its field monitoring tools to support enforcement of the re-weatherization rule.
- Costs are disallowed for any work performed for ineligible clients.
- Eligibility is a key component when a special investigation has been designated.

o Rental

- By contract, rental service agreements signed by occupants and property owners include language protecting occupants from rent increases as a result of the weatherization services provided.
- For large multi-unit projects, CSD staff evaluates whether any undue enhancement might occur in the value of the dwelling units, and confirms that the benefits of weatherization accrue primarily to the residents.
- CSD inspectors give special attention to inappropriate or unnecessary enhancements for any rental files and/or dwellings inspected. In the event there are reports of improprieties, the inspectors would do the

follow-up investigation and address remedial action with the Agency as deemed appropriate.

- Feedback and Reporting
  - CSD holds quarterly meeting with the Subgrantee network. A subcommittee comprised of a representative group of Subgrantees generally meets once a month to discuss policy development for all CSD-administered energy programs.
  - Subgrantees are required to submit monthly activities and expenditure reports. Reports are reviewed on a quarterly and monthly basis. Field representatives contact Subgrantees about any anomalies found.
  - All findings through on-site monitoring and technical investigations culminate in reports provided to the Subgrantees and their respective Board of Directors. Inspection reports are provided to Subgrantees at the exit interview.

- Energy Audits
  - CSD has established audit protocols for single family (Attachment F CSD Single-Family/Small Multi-Family Energy Audit Protocol) and multi-family dwellings (Attachment G CSD Multi-Family Energy Audit Protocol).
  - All electronic audit files and supporting pictures are required to be submitted to CSD for review and approval before work commences. Audits are rejected when anomalies are found and Subgrantees are asked to correct and resubmit. Any serious misuse of audits can lead to disallowances and high risk designation.

- Field Work
  - CSD contracts contain an extensive list of required documentation to be maintained in each client file.
  - CSD contracts require that completed units cannot be billed until after they have been inspected. Monthly activity reports are reviewed by staff to confirm that inspections have been performed.

  - Inspections are required to be performed by a Certified Quality Control Inspector and are confirmed through on-site client file review. Quality Control Inspector certificates are required to be on file at CSD.
  - All Subgrantees are required to use a standardized inspection form that includes the inspector's name and signature, inspection date and time, and client's signature.
  - Subgrantees are required to correct any deficient work identified by their internal inspectors before the work is submitted for reimbursement. As a result of CSD inspections, Subgrantees with incomplete work and workmanship issues are asked to rectify the problem before disallowances are levied. Subgrantees will be asked to

reverse or repay costs that are determined to be unallowable. If questioned costs are significant, an investigation may be performed.

- When necessary, communication between the Subgrantee and client are overseen or initiated by CSD staff to help resolve the complaint. If not resolved, the client is made aware of the appeal and fair hearing processes.
- Policy changes are derived from input from the Subgrantee network, CSD staff, CSD's technical consultant and Federal partners.
- CSD has updated the CSD Weatherization Installation Standards and created a new CSD Weatherization Field Guide. This process was overseen by the CSD Technical Support Unit. Changes were distributed to all Subgrantees for review and comment. Afterwards, the WIS Review Committee comprised of a representative group of Subgrantees met with CSD to discuss suggested changes and provide final input before finalization of the manuals.

o Health & Safety

- CSD's Health & Safety Plan is incorporated into the contract and is readily available to Subgrantees through CSD's provider website. Training was provided as part of its original implementation.
- Subgrantees are required to maintain and have available for review all training records and certifications. CSD technical staff maintains a list of certified firms, renovators, OSHA and contractors licensing and completion of required training. Copies of certificates are required to be submitted to CSD.
- Field monitoring guidelines include the verification of the Injury and Illness Prevention Plans (IIPP), Respirator Programs and Material Safety Data Sheets (MSDS) binders.

o Quality Assurance

- During annual monitoring visits, field representatives conduct client file reviews for inclusion of all required documentation, completeness of forms, and adherence to other contract requirements.
- Quality assurance of field work is conducted by CSD and third-party inspectors. Consolidated pass/fail inspection rates are maintained by CSD staff. A matrix of significant programmatic findings and resolution are maintained for tracking purposes and identification of trends. CSD conducts on-site monitoring of the third-party inspectors.
- CSD has developed a Quality Work Plan in accordance with WPN 15-4. Refer to Attachment Q WPN 15-4 Quality Work Plan Requirements.

o Training & Technical Assistance

- Through monitoring and inspection processes and analysis, the need for training may be identified. When the need arises, a referral is made to the technical support unit to make arrangements for the training

though the CSD-approved training centers, CSD's technical consultant or CSD internal technical staff. Additionally, Subgrantees can initiate training themselves by submitting a request to the technical support unit.

- CSD contract has specific training requirements that must be met within certain time frames in order for Subgrantee staff to continue working within the program. Training records for the required online, classroom and field training are maintained at the Subgrantee and through the web-based CSD Training Records Database.

- Required Follow-Up Procedures
  - Both field representatives and quality assurance inspection team issue reports following their visits. All findings are tracked and followed up on through resolution. Depending upon the severity of the finding, a return visit to verify resolution may be necessary.

- Subgrantee Monitoring
  - Program Overview (Client File Review, Work Orders, etc.)
    - Field representatives confirm that Subgrantees have the necessary information and forms to administer the weatherization program effectively and meet program requirements.
    - Through client file reviews, field representatives determine if all required documentation is present, required SHPO reviews have occurred, priority list/energy audit protocols were followed, prioritization of services was given, work is adequately documented and justified, and reweatherized dwellings were handled appropriately.
    - CSD inspectors review the more technical aspects of the client file including combustion appliance safety testing and blower door and duct leakage diagnostics. They also review the assessments, work orders, work justification, permits, HERS ratings, file notes, and Subgrantee inspections.
  - Financial/Administration
    - The fiscal and performance review conducted by field representatives ensures that the agency is on track with their expenditures, and performance and benchmarks; this includes validating claims submitted for reimbursement, line-item reconciliation, verification of the agency's billing process, verification of internal controls, a review of working capital advances, verification of procurement procedures, and an evaluation of the agency's accounts / age payables.
  - Inventory
    - During onsite monitoring visits, field representatives review any inventory purchased with CSD grant funds. They ensure that

Subgrantees have written inventory policy and procedures in place, visually inspect the inventory, review Subgrantees' tracking procedures, and review vehicle, equipment and calibration tracking logs.

- Energy Audits
  - Technical Support Unit and CSD's third-party technical consultant are responsible for evaluating the integrity of the energy audits for all dwelling types.
  - Field representatives and CSD inspectors review files for inclusion of the Priority List Checklist and energy audit reports. CSD inspectors verify the application of the priority list and energy audit.

- Qualifications & Training
  - Field representatives and technical support staff follow up with Subgrantees when required training has not been taken, training discrepancies are found or Subgrantee staff is found to be working in areas they are not qualified to perform.
  - The technical support unit will verify any training referred by field representatives and CSD inspectors was completed.

- Weatherization of Units
  - When CSD inspectors find work that needs to be addressed, an evaluation will take place to determine and document why it was not identified through the Subgrantee's own inspection process and if any trends are present. Subgrantee inspectors, crews and field supervisors may be referred for additional training or have disallowances levied.

- Health & Safety
  - The implementation and continual application of health & safety guidelines are monitored through the inspection and field monitoring processes which includes client file reviews and client and Subgrantee staff interviews. Deficiencies are reported and must be addressed.
  - Field monitors and CSD inspectors review client files for the resolution of identified health and safety issues and required client education and RRP documentation. A finding is issued and Subgrantees are required to resolve any issue left unresolved.
  - CSD inspections currently include questions related to the application of lead-safe practices, the applied use of LSW in the course of delivering weatherization services and renovator records.

- Final Inspections

        - Third-party and CSD inspectors will conduct inspections to monitor feasibility of weatherization measures, quality of workmanship, material standards, review of client files and proper application of the DOE Priority List, energy audit protocols and installation standards. Inspections are conducted at a rate of 5% of all completed units for each Subgrantee including a sampling of units in-progress. CSD inspectors use a standardized form to record measures installed and billed, feasibility, and workmanship.
        - Any identified trends are discussed with the Subgrantee and training may be recommended.

    - Required Follow-Up Procedures
        - Both field representatives and quality assurance inspection team issue reports following their visits. All findings are tracked and followed up on through resolution. Depending upon the severity of the finding, a return visit to verify resolution may be necessary.

- Financial Monitoring

    - Financial Management/Accounting Systems and Operations
        - Field representatives review accounting operations by tracing a sampling of expenditures from source documentation through to payment and bank statements.
        - Enhanced monitoring and investigative audit visits will be conducted, as needed, to evaluate Subgrantees' accounting systems and fiscal integrity.
        - Special investigations may be conducted by the CSD technical support unit if deemed necessary.
        - Field representatives determine if internal controls and separation of duties are present and written policies are in place. Audit staff will also review internal controls as part of their fiscal audit.

    - Audits
        - Auditors perform annual reviews of Subgrantees latest single-wide audits for compliance with A-133 OMB, follow up on findings identified in the Single Audit, and issue transmittal letters to Subgrantees that include findings.
        - Investigative audits will be conducted, as needed, to evaluate Subgrantees' accounting systems and fiscal integrity.

    - Payroll/Personnel
        - Field representatives review payroll records, timesheets, and organizational charts during annual monitoring visits. Subgrantee staff is interviewed to determine job responsibilities, work performed under CSD programs and improper charges for any "ghost" employees.

- Testing of payroll records may be reviewed by auditors dependent upon their audit work scope.

- Vehicles and Equipment
  - Field representatives determine if vehicles and equipment are properly tracked and maintained, are currently being utilized, how costs are shared between programs, and disposition.
  - Testing of vehicle records may be reviewed by auditors dependent upon their audit work scope.

- Procurement
  - Field representatives review Subgrantees' written procument policies and procedures and verify that the policies have been followed and a competitive bid process is in place, how items are cost allocated between different programs, and that OMB requirements are being met.
  - Testing of procurement processes may be reviewed by auditors dependent upon their audit work scope.

- Invoicing
  - Field representatives verify the Subgrantee's billing process from intake through inspection for accuracy, review submittal of budget line items (on-site and desk reviews), test reasonableness and conformity of billed measures, and trace costs through to the general ledger.
  - The technical support unit may conduct special investigations in this area when deemed necessary.
  - Testing of invoices may be reviewed by auditors dependent upon their audit work scope.

- Records Retention
  - Subgrantees are required to retain records for a minimum of three years after the close of the audit review and resolution of any findings or disallowances. Data related to the weatherization of dwellings is uploaded and maintain in CSD's central repository.

- Required Follow-Up Procedures
  - Both field representatives and quality assurance inspection team issue reports following their visits. All findings are tracked and followed up on through resolution. Depending upon the severity of the finding, a return visit to verify resolution may be necessary.
  - The CSD's audit unit issues an Audit Transmittal Report after a desk review of audit reports submitted by Subgrantees. Reports are issued as a result of any standard or investigative audit. Disallowances

identified through these processes that are not repaid to the department could delay execution of subsequent contracts

- Expanded Monitoring Scope – Automation

  - CSD required all Subgrantees to convert to fully automated data systems at the local level since the current reporting software originally provided by CSD has been abandoned. Subgrantees have the discretion of choosing the electronic solution that best fits their needs and meets the state's reporting requirements.
  - Subgrantees are currently required to transfer electronic client file data to CSD in a central depository on a monthly basis. It is currently limited to client information, demographics and measure installation and related costs. The data can be accessed and evaluated for programmatic inconsistencies. For the current program year, Subgrantees will continue to enter summary level data for reimbursement purposes into CSD's web-based reporting system based upon reports generated from their databases. However, the summary level data is collected on a minimal basis as the transition to the central depository is made.
  - Automated assessment and diagnostic forms are currently being piloted and may become a required component this program year. The forms would include required calculations, work flow processes and other logic. The data collected from these forms would be maintained at the local level and would eventually be transferred to CSD. This will help provide greater consistency across the state and aid in CSD's monitoring efforts. In the future, CSD will also be piloting the automation all other required forms such client education confirmation and tenant notifications.

<u>Monitoring Reports</u>

Monitoring reports are provided to the Subgrantee in the following manner:

- Dwelling inspection reports are provided during exit conferences. If it determined that training and technical assistance is necessary to resolve any workmanship and/or paper work issues, the Subgrantee shall be referred to the third-party Technical Consultant or CSD technical assistance staff.

- Subgrantees are briefed on observations and potential findings generated by the monitoring visit, usually through an exit conference. Within 30 days after each visit, the State will prepare a written report on its findings and/or recommendations, and send it to the Subgrantee for corrective action, if applicable.

<u>Reporting</u>

Reporting software was developed by one of the Subgrantees and distributed to the network in the first quarter of 2009. This software has allowed the Subgrantees to collect and report data to the department on a summary level basis more accurately. This method of collecting data is currently being phased out and being replaced by fully automated systems on the local level. Subgrantees will still be reporting summary level data to the department along with the transfer of client file data on a monthly basis.

Monitoring Schedule

The monitoring season typically runs from February through the end of October. All Subgrantees will be visited at least once during this time period.

Month	# of Monitoring Visits
July 2015	0
August 2015	0
September 2015	0
October 2015	0
November 2015	0
December 2015	0
January 2016	6
February 2016	6
March 2016	6
April 2016	6
May 2016	7
June 2016	7
Total	38

Frequency of inspection visits by CSD and third-party inspectors are dependent upon each Subgrantee's level of production. CSD has projected that 84 to 167 units or a range of 5% to 10% f will be inspected for the upcoming program year or each Subgrantee. All Subgrantees will be visited at least once by CSD inspectors. The same inspection criteria are applicable to the LIHEAP weatherization and ECIP heating and cooling programs.

Recordkeeping

- All records maintained by Subgrantees must meet the OMB requirements contained in 45 CFR Part 92 and 45 CFR Part 74 (OMB Circulars A-102, Subpart C, ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"} or A-110, Subpart C, Nonprofit Organizations), whichever is applicable.

- Subgrantees are required to maintain all records pertaining to this program for a minimum period of three years after submission of the close-out report. Subgrantees must maintain all applicable records until resolution of all related audit and monitoring findings are completed. Addresses and installed measures of all completed units in the LIHEAP and DOE program are required to be submitted to CSD.

- Employee and applicant records are required to be maintained in a confidential manner to assure compliance with the Information Practices Act of 1977, as amended, and the Federal Privacy Act of 1974, as amended.

Noncompliance

If it has been determined that a Subgrantee cannot fulfill their contractual obligations, steps may be implemented to redistribute any remaining allocated funds to other Subgrantees. These funds will be redistributed to the nearest Subgrantee, if feasible, to provide services in the same general geographical area. For designated high-risk Subgrantees, an independent financial audit may be performed.

Termination Procedures

CSD may commence suspension or terminations proceedings based on non-performance or material breach of Subgrantee contract. CSD may impose sanctions as provided in 2 CFR 200.338 which may include temporarily withholding cash payments, disallowing payment, suspending or terminating the federal award, recommending suspension or debarment proceedings, withholding further federal awards or taking other remedies that may be legally available.

Should it become necessary to terminate any Subgrantee, or select new ones, the regulations governing such actions, i.e. sections Code of Federal Regulations sections 440.15 (c) and (d), will be followed. Should termination of a Subgrantee during the current grant cycle become necessary, CSD will redistribute the allocations and/or unexpended balances to Subgrantees operating efficient programs in order to ensure that the services continue in the areas served by the Subgrantee being terminated.

V.8.4 Training and Technical Assistance Activities

Overview

Field Representatives make annual monitoring visits through the 2015 program year and conduct report evaluation on an ongoing basis. One of the goals of on-site and report evaluation is to assess the need for training. Problems identified through desk reviews and field visits that can be resolved through training and technical assistance will be addressed by the Field Representatives and/or other CSD staff, outside consultants, and occasionally by staff brought in from other Subgrantees.

When Subgrantee staff turnover is identified, CSD Field Representatives will ensure that new employees receive the required training through online and CSD-approved training center courses. CSD requires such training as a means of increasing the quality of weatherization services provided to low-income clients. Subgrantees are required to maintain for review a log of weatherization employees and the dates and locations for all required training.

As part of the field inspection process, the inspection contractor provides monthly reports summarizing the results of their inspection visits and identifying any training needs. The Technical Support Unit will also evaluate energy audit reports and if deficiencies are found, either provide on-site training or refer the training to the third-party technical consultant for follow-up.

All new CSD weatherization field staff shall attend basic weatherization, combustion appliance, blower door/duct leakage training courses including both theory and hands-on curricula, at CSD-approved weatherization training facilities. Appropriate CSD staff will receive updated training as needed (i.e., lead-safe practices). All CSD field representatives are required to take the appropriate training to become EPA Certified Renovators.

The training curriculum is currently being updated to align 100% with JTA standards and to incorporate revisions from the CSD standards manuals. Refer to Attachment Q WPN 15-4 Quality Work Plan Requirements.

Training and Technical Assistance - Grantee

Training and Technical Assistance for Subgrantees

- Field Representatives provide both training and programmatic assistance during on-site visits and through ongoing telephone contact with the Subgrantees.

- CSD staff maintains a “Hotline” available to Subgrantees seeking immediate technical assistance. Mentoring for underperforming or new Subgrantees is also provided by the consultant at CSD direction.

- Program Analysts comprising the department’s Technical Support Unit provide technical assistance to staff and Subgrantees, develop training curriculum, and assess past and future training needs.

- In accordance with the Department of Energy requirements, CSD will meet the quality control inspector certification requirements by Program Year 2015. Using the NREL job-task analyses for single and multi-family jobs, the department is modifying its existing training curriculum for quality control inspectors to incorporate required additional components. The revised curriculum will be submitted for review and accreditation. Additionally, the department’s third-party

technical contractor will become accredited affiliate instructors. Accredited instructors shall shepherd qualified Subgrantee inspectors through the application process, completion of testing, and final certification to be in compliance by the start date of Program Year 2015. Refer to Attachment Q WPN 14-4 Quality Work Plan Requirements.

- A third-party contractor provides follow-up field training and technical assistance pertaining to the installation of weatherization measures, the quality and appropriateness of installed weatherization measures, infiltration reduction, and health and safety measures and develops training curriculum.

Training and Technical Assistance for Department Staff

- CSD staff will attend the Energy OutWest Peer Exchange, DOE and NASCAP meetings and conferences as approved by the Governor's office.

- CSD staff is trained on an on-going basis to keep them abreast of contractual and policy changes. For monitoring purposes, all new CSD field and technical staff receive the standard weatherization training including combustion appliance safety, blower door and duct leakage diagnostics. All CSD field staff members are EPA Certified Renovators.

- Due to the new monitoring tool and processes being redeveloped, ongoing training will be required for CSD staff to become proficient with the updated monitoring protocols.

Subgrantee Training Evaluation

- Field Representatives make annual monitoring visits and conduct report evaluation and desk and client file reviews on an ongoing basis. One of the goals of the reviews is to assess the need for training. The Technical Support Unit will evaluate energy audit reports and if deficiencies are found, either provide on-site training or refer the training to the third-party technical consultant for follow-up.

- The third-party technical consultant will be evaluating TREAT audit reports and provide technical assistance as needed.

- As part of the field inspection process, the inspection contractor provides monthly reports summarizing the results of their inspection visits and identifying any training needs. A web-based training records database will maintain all records for required and supplemental training. Compliance reports will be a key component of the system after further development.

Training Development

- Field operations unit develops and provides semi-annual webinars to key administrative and fiscal Subgrantee staff on various subject matters, including, but not limited to, contractual changes and monitoring protocol.

- Technical support unit conducts a webinar series entitled "Technically Speaking…" to disseminate information related to changes in field protocols and policies and any identified field or technical issues. These webinars are conducted once a month or as needed.

- The department had restructured the training requirements for Subgrantee and subcontractor field staff to help ensure quality workmanship. Requirements have been stepped up to produce a sustainable work force. However, training curriculum is currently being updated to meet DOE new training requirements. Refer to Attachment Q WPN 14-4 Quality Work Plan Requirements.

Training and Technical Assistance - Subgrantee

The training and technical assistance funds will be allocated to Subgrantees to provide the required training. The department allocates up to 5% of LIHEAP weatherization funds and up to 2% of ECIP funds for training purposes to supplement DOE's contribution. The training requirements apply to field employees of Subgrantees and subcontractors who provide basic weatherization services. The curriculum associated with the series below is being updated to meet new DOE training requirements and align with JTA standards. Refer to Attachment Q WPN 14-4 Quality Work Plan Requirements and Attachment T CSD Training Requirements Matrix.

Training Requirements for Specialty Subcontractors

All Subcontractors who perform specialty work for Subgrantees and whose work involves combustion appliances shall be required to take the full course series for Combustion Appliance Safety if the Subgrantee will not be performing the combustion appliance safety testing.

Additional Requirements

- New employees are required to be trained in health and safety and environmental hazards practices within 30 days of employment and will not be allowed to enter a pre-1979 dwelling in any capacity until such training has been completed.

- No weatherization employee or subcontractor is allowed to conduct combustion appliance, blower door and duct leakage diagnostics without proper training.

- Training records are required to be maintained through the web-based CSD Training Records Database.

- Personnel providing services to clients residing in pre-1979 HUD units must be trained in HUD-approved lead-safe weatherization practices before work can commence.

- Subgrantees and subcontractors who perform basic weatherization services are encouraged to schedule additional refresher trainings as needed with the Grantee's training contractor.

- Subgrantees may be required to repeat coursework or take specialized training if deemed necessary when issues are identified through field monitoring or quality assurance inspections.

Client Education

Subgrantees are required to provide client education and budget counseling that encourage households to reduce their home energy needs and the need for energy assistance. Each Subgrantee has the latitude to develop their own client education program but they must provide at least the following.

- Written information that describes energy saving behavioral adjustments that will decrease the energy consumption of the household;

- Resource information, referral, family, and budget counseling in order to assist clients in achieving self-sufficiency;

- The EPA pamphlet entitled "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and School";

- The EPA pamphlet entitled "A Brief Guide to Mold, Moisture, and your Home";

- The EPA pamphlet entitled "A Citizen's Guide to Radon"; and

- Description of benefits that can be expected of the weatherization measures to be installed and how to maximize the effect of each measure.

V.9 Energy Crisis and Disaster Response Plan

The purpose of California's Department of Energy (DOE) disaster planning and relief is to provide emergency services to low-income individuals and families affected by a disaster as determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. DOE WAP has a very limited role in any disaster response. Funds are limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

To the extent that services are in support of eligible weatherization (or permissible re-weatherization) work for eligible households, such expenditure is allowable. Allowable expenditures include:

- The cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective.
- The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials.
- The cost to perform functions related to protecting the DOE investment such as: weatherization materials, tools, equipment, weatherization vehicles, or protection of local Subgrantee weatherization files, records and the like during the initial phase of the disaster response.
- The cost to use weatherization vehicles and/or equipment to help assist in the disaster relief provided DOE is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.

The use of DOE funds for relief efforts is limited by the following:

- The total allowance for relief efforts is limited to a maximum allowance of $6,500 per dwelling unit.
- The total allowance for incidental repairs in support of the installation of weatherization materials is limited to the current maximum reimbursement for minor envelope repairs per Subgrantee contract.
- The total allowance for the installation of each weatherization measure is limited to the current maximum reimbursement per Subgrantee contract.
- The cost to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Prioritization of weatherization requests within disaster

- Disaster relief services are only available to qualified low-income households directly affected by the declared disaster. DOE requires that priority be given to identifying and providing weatherization services to the elderly, disabled, families with children, high residential energy users and households with high energy burdens.

- It is permissible, however, to consider households located in the disaster area as a priority as long as the households are eligible and meet one of the priorities above and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.
- In the event of a declared Federal or State disaster, weatherization crews may return to a unit reported as a completion to CSD that has been “damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization”. Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to materials is not covered by insurance or other form of compensation.

Prior to initiating disaster relief services, Subgrantees are required to submit a written plan to the CSD for approval outlining the specific services to be provided and the estimated costs necessary to support each type of activity. Activities are required to be reported on a monthly basis describing all relief efforts, expenditures and demographics. Approved plans will be in effect for a maximum of six months but could be extended dependent upon the anticipated recovery period and the type of disaster involved.

DOE F 1600.5
(06-94)
All Other Editions Are Obsolete

U.S. Department of Energy
Assurance of Compliance
Nondiscrimination in Federally Assisted Programs

OMB Control No.
1910-0400

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

State of California, Department of Community Services and Development (Hereinafter called the "Applicant") HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub. L. 93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub. L. 93-438), Title IX of the Education Amendments of 1972, as amended, (Pub. L. 92-318, Pub. L. 93-568, and Pub. L. 94-482), Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), the Age Discrimination Act of 1975 (Pub. L. 94-135), Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), the Department of Energy Organization Act of 1977 (Pub. L. 95-91), the Energy Conservation and Production Act of 1976, as amended, (Pub. L. 94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment, advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws and regulations cited above. To this end, the subrecipient shall be required to sign a written assurance form; however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age and disability in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to the obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

Printed with soy ink on recycled paper

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, buildings, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereof, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signatures appear below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

Kathy Andry, Deputy Director Name and Title (Printed or Typed)	(916) 576-7109 Telephone Number
Kathy Andry Signature	4/30/2015 Date

State of California Department of Community Serv Applicant's Name	(916) 576-7109 Telephone Number
Address: 2389 Gateway Oaks, Suite 100 Sacramento, CA 95833	Date

Agency Use Only

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement) and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

2. ADDITIONAL LOBBYING REPRESENTATION

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other thins, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

Check the appropriate block:

The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? ☐ Yes ☐ No

If you checked "Yes" above, check the appropriate block:

The applicant represents that after December 31, 1995 it ☐ has ☐ has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

3. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery; falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

(2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

_____

_____

_____

☐ Check if there are workplaces on file that are not identified here.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

(1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. SIGNATURE

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: State of California Deptartment of Community Services and Development

Printed Name and Title of Authorized Representative: Linné Stout, Director

Linné Stout

SIGNATURE

4.30.15

DATE

Program Years 2013 and 2014 Carryover

Reason for Carryover Amount

Due to the minimal level of funding available for Program Years 2013 and 2014, Inyo-Mono Advocates for Community Action (IMACA) and Mariposa County Human Services Department opted not to accept funding and provide services under the DOE program. The combination of funds between the two grants was not sufficient for administrative and production purposes and for meeting program requirements. Funding for these years were carried over in their entirety including administration and training & technical assistance into Program Year 2015 and added to their current 2015 funding.

Carryover Amount

Budget Line Item	2013 Budget	2014 Budget	Total Combined Carryover	2015 Budget	Total Combined 2015 Budget
Grantee Admin	$0	$0	$0	$262,248	$262,248
Grantee T&TA	0	0	0	626,224	$626,224
Subgrantee Admin	427	1,376	1,803	262,248	$264,051
Subgrantee T&TA	256	1,981	2,237	268,381	$270,618
Program Operations	5,697	16,346	22,043	3,154,104	$3,176,147
Health & Safety	1,140	3,269	4,409	630,821	$635,230
Liability Insurance	0	0	0	40,933	$40,933
Total Budget	$7,520	$22,972	$30,492	$5,244,959	$5,275,451

Subgrantee	2013 Budget	2014 Budget	Total Combined Carryover	2015 Budget	Total Combined 2015 Budget
Inyo Mono Advocates for Community Action	$3,737	$11,415	$15,152	$12,141	$27,293
Mariposa County Human Services	3,783	11,557	15,340	12,292	27,632
Total	$7,520	$22,972	$30,492	$24,433	$54,925

Note:

The Total Allowable Subgrantee Admin on Carryover ($1,803) is higher than 5% of the Total Allocation – Carryover. This is due to the 5% allowable admin calculated on the total grant awards for the prior program years not on just the allocated portion to each Subgrantee. {reference 10 CFR 440.18(e)} and prorated accordingly. This included the proportionate share of admin attributable to the SHPO contract that was included in the Subgrantee allowance the past two periods.

STATE OF CALIFORNIA

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT (CSD)

Eligibility and Verification Guide

Revision Date 12/2014

Eligibility and Verification Guide

Table of Contents

Contents

This publication contains the following topics:

Topic	Page
Overview: Eligibility Guidelines	3-4
Section I: Eligibility Criteria	
Subsection 1: Eligibility Summary	5
Subsection 2: Collecting Date of Birth	6
Subsection 3: Citizenship and Alien Status Public Agencies	7-9
Subsection 4: Citizenship Status – Private Non Profit Agencies	10
Subsection 5: Household Composition	11-12
Subsection 6: Definition of a Dwelling	13
Subsection 7: Priority	14
Subsection 8: Qualifying an Client as Disabled	15
Subsection 9: Processing Social Security Numbers for Applications	16-17
Subsection 10: Qualifying for Fast Track Assistance	18-19
Subsection 11: Completing the Intake Form CSD 43	20-22
Subsection 12: Client file Documentation	23-24
Section II: Income Verification	
Subsection 1: Income Calculation	25-27
Subsection 2: Acceptable Income Documentation	28-42
Subsection 3: Excluded Income Sources	43-46
Subsection 4: Undocumented Sources of Income	47
Subsection 5: Zero Income	48-49
Section III: Energy Cost Verification	
Subsection 1: Energy Bill Criteria	50-51
Subsection 2: Interpreting Energy Cost	52
Subsection 3: Utilities Included in Rent	53
Subsection 4: Energy Burden	54-55
Section V: Appeals	
Subsection 1: Appeals Process	56
Subsection 2: Ineligible Applications	57-58
Subsection 3: Fraud	59

Overview: Eligibility Guidelines

Purpose

The Eligibility and Verification Guide is designed to be an easy-to-use reference for determining eligibility, processing intake forms, addressing policies and procedural requirements, and other pertinent program information for all energy programs administered through CSD, such as Low Income Home Energy Assistance Program (LIHEAP) and Department of Energy (DOE).

Reminder: All the policy and procedural changes in the Eligibility and Verification Guide (Revision Date 12/2014) apply exclusively to the 2015 Program Year.

Agency Instructions

Agencies must obtain income documentation fully supporting the total gross monthly income earnings (stated on the Energy Intake Form CSD 43) for qualified households receiving LIHEAP and DOE weatherization/energy assistance. Income documentation must be within 6 weeks of the application intake date, and must comply with the stated acceptable forms of income documentation referenced within pages 28-42 of the Eligibility and Verification Guide. For a quick checklist of countable and non-countable income, refer to attachment 9 of the Start-up package.

The Energy Intake Form was modified to oblige applicants to disclose the number of household members providing income support to the household or in clearer terms, individuals with countable income earnings. Agencies must obtain documentation substantiating gross monthly income earnings for all household members stated on the Energy Intake Form.

Agencies should use the CSD 43B to accompany the Energy Intake Form to further assist applicants with their understanding of the eligibility requirements and provide the necessary information to successfully complete the application for energy assistance.

General Rule

Agencies must make an attempt to obtain income documentation supporting the qualifying household's gross monthly income, such as but not limited to: the collection of all paystubs substantiating the gross earnings for the month; statements from adult members confirming income earnings from non-reportable sources (e.g., odd jobs, collecting and cashing in recyclables, etc.) and benefit letters substantiating benefits from Social Security or public benefit programs (e.g., TANF, General Assistance, etc.,). However, in those isolated cases, where it poses a true hardship on the client to provide documentation supporting monthly income earnings, agencies may apply the

use of the following income procedures to calculate the monthly income earnings using partial paystub information:

* Client must submit a signed written statement confirming the inability to provide the required income documentation substantiating gross monthly earnings and the hardship posed with obtaining additional income documentation.

* Client must offer information describing the partial income documentation submission and confirm the gross monthly income for the missing income documentation.

* Using the offered statements from the applicant, agencies can determine the appropriate calculation to be used to compute the gross monthly earnings using the partial wage stub submission.

Note: The income calculation is to assist applicants experiencing hardships and not to be used as a common practice to circumvent the requirements for collecting income documentation substantiating gross monthly income from all sources for qualified households.

Section I: Eligibility Criteria

Subsection 1: Eligibility Summary

Introduction

Eligibility is based on the household's total monthly gross income, which cannot exceed the income guidelines. The federal government requires that states target households with lowest incomes and high energy costs, while taking into consideration households with elderly, disabled persons and children under six (children under 19 – Department of Energy, Weatherization Assistance Program, DOE WAP).

All clients

A client for all energy and/or weatherization programs must meet the following criteria:

1. Be a resident of California.
2. Be a permanent and legal United States resident.
3. Meet the income guidelines and provide proof of income from all sources for all members of the household.
4. Be responsible for energy costs and provide copies of energy bills.
5. Prove citizenship status if the client is being served by a public agency.
6. Meet the definition of a household.
7. Housing unit must meet the definition of a dwelling.
8. Meet agency's priority plan.

Crisis component

LIHEAP crisis/emergency services have additional eligibility requirements for substantiating the condition of emergency under the various LIHEAP emergency services (ECIP EHCS, ECIP WPO, and Fast Track).

Documentation

All factors of eligibility must be verified and documented in the client file. Copies of all verifications must also be maintained in the client file.

Section I: Eligibility Criteria

Subsection 2: Collecting Date of Birth

Background	CSD collects the full 9 digit Social Security Number (SSN) for identifying and tracking client participation to ensure that duplicate payments are not issued. While the practice of collecting the full SSN assists in tracking client services, and preventing duplicate payments, CSD does not possess the legal authority to collect the SSN, nor can a client be denied services for failure to provide a full SSN.
Requirement	Agencies are required to obtain and document the date of birth of the client on the Energy Intake Form CSD 43. This additional data will assist in verifying an applicant's identity, streamlining the prevention of fraud and the duplication of benefits.
No Documentation	Date of birth will be accepted as written on the application. No verification is required in the client file.*
Intake Form	The date of birth must be written on the intake form in the following format: 2 digit month/2 digit day/2 digit year (mm/dd/yy). It is located in the upper right of the Intake form, near the last name field.

* **The client's date of birth is required; however, the agency is not required to verify the date for accuracy.**

Subsection 3: Citizenship and Alien Status for Public Agencies

Background

Federal law requires that all public agencies verify that clients are a United States (U.S.) citizen, national, or an alien in a qualified immigration status. A copy of the verification and documentation of their qualified status must be retained in the client file.

Citizen or Naturalized Citizen

An individual is a U.S. citizen if:

- Born in the U.S., regardless of the citizenship of his/her parents
- Born outside of the U.S. of U.S. citizen parents
- Born outside the U.S. of alien parents and has been naturalized as a U.S. citizen. A child born outside of the U.S. of alien parents automatically becomes a citizen after birth if his/her parents are naturalized before he/she becomes age 16

Citizenship Documentation

Acceptable verification includes, but is not limited to:

- U.S. birth certificate
- U.S. passport
- Naturalization certificate, N-550 or N-570. Certificate cannot be copied but agency should review, verify and document in the file that the “naturalized certificate was verified and valid”
- Report of birth abroad of a U.S. Citizen FS-240
- U.S. Citizen Identification Card, I-197
- Certificate of Citizenship, N-560 or N-561
- Statement provided by the U.S. consular officer certifying the individual is a U.S. citizen
- American Indian card with a classification code KIC
- Documentation of direct receipt of SSI or SSA benefits

Qualified Alien

The following table lists acceptable status and corresponding documentation for qualified aliens:

Status	Documentation
Lawful Permanent Resident	• INS form I-551 (Alien Registration Receipt Card, also called Resident Alien Card or ‘green card”). This card contains a photo and fingerprint. It does not include the AI-551 form number. Older versions do not include a fingerprint • An unexpired temporary I-551 stamp in a foreign passport or on a Form I-94

Status	Documentation
Parolee	• INS Form I-94 with a stamp showing admission under Section 212(d)(5) of the INA. An expiration date of 1 year of more from the date the status was granted (or indefinite) will be noted on the I-94 and can be used to indicate a qualified alien's status • INS Forms I-688 coded 274a.12(c) (11) • Form I-766 coded C11, indicates parolee status
Conditional Entrant	• INS Form I-94 with a stamp showing admission under Section 203(a)(7) of the INA • INS Form I-688 coded 274a.12(a)(3) • Form I-766 coded A3, which indicates status as a condition entrant
Cuban/Haitian Entrant	• INS Form I-94 with a stamp showing parole as a Cuban/Haiti Entrant under Section 212(d)(5) of the INA • Form I-94 showing parole into the U.S. on or after October 10, 1980 and reasonable evidence that the parolee had been a national of Cuba or Haiti • Note: This guideline does not apply when the individual was paroled solely to testify as a witness in a judicial administrative, or legislative proceeding or when the parolee is in legal custody pending criminal prosecution
Deportation or Removal Withheld	• An immigration judge's order showing that deportation was withheld pursuant to Section 243(h) of the INA removal was withdrawn pursuant to Section 241(b)(3) of the INA and the date of the judge's order • An INS Form I-688 with the code of 274a.12(a)(10) • Form I-766 coded A10, which indicates deportation or removal withheld under Section 241(b)(3) or 243(h)
Battered Spouse	• The individual must have filed a petition with INS base on: Status as a spouse or child of a U.S. citizen or classification to immigrant status as a spouse or child of a lawful permanent resident – OR - Suspension of deportation and adjustment to lawful permanent resident status based on battery or extreme cruelty by a spouse or parent who is a U.S.Citizen or lawful permanent resident • The individual must allege that he or she was subjected to battery or extreme cruelty; and the person responsible for the battery or extreme cruelty must no longer reside with the individual in question

Asylee-Alien granted asylum	• INS Form I-94 (Arrival Departure Record) with a stamp showing grant of asylum under Section 208 of the INA • A grant letter from the INS Asylum Office • An order of an immigration judge • INS Form I-688B (Employment Authorization Card) with the code 274a.12(a)(5) • Form I-766 (Employment Authorization Document) coded A5 that indicates status as an Asylee
Refugee	• INS Form I-94 with a stamp showing admission under Section 207 of the INA • INS Form I-688B with the code 274a.12(a)(3) • Form I-766 coded A3 that indicates status as a refugee

Ineligible

Persons ineligible to participate in the energy and/or weatherization programs with public agencies are:

- Individuals who hold an INS I-94 who are admitted as temporary entrants (such as students, visitors, tourists, diplomats, etc.).
- Aliens who have no other INS document.
- Individuals possessing an Individual Taxpayer Identification Number (ITIN). An ITIN does not create an inference regarding the person's immigration status. An ITIN is issued by the U.S. Internal Revenue Service to individuals who are required to have a U.S. taxpayer identification number but who do not have, and are not eligible to obtain a Social Security Number issued by the Social Security Administration.
- Individuals possessing an ID card issued by a foreign consulate

---

Calculating Income

An individual is not counted in the household size, if citizenship or qualified alien criteria is not met. However, his/her income is counted in the household's total income.

Background

Previously, private, non-profit charitable organizations were required to verify client eligibility in accordance with CSD's client verification of eligibility procedures and regulations, forms, and other written guidance provided by CSD.

However, Section 432(d) of the 42 USC 1305 (Public Law 104-193, 110 Stat. 2168, Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA)), exempts non-profit charitable organizations from any requirement to determine, verify, or otherwise require proof of alien eligibility or status in order to provide a federal, state, local or public benefit.

Program Guidance

CSD issued Program Guidance (PG-11-03) Eligibility of Non-Qualified Aliens.

Private, non-profit agencies are not required to verify citizenship, but if during the intake process the agency is made aware the client is a non-qualified alien, services must be denied. CSD has issued Program Guidance (PG-11-03) to clarify procedures and requirements for determining the eligibility of clients who are non-qualified aliens.

Ineligible

Qualified aliens are those who have both permanent and legal residency. If a client has legal residency but is not here on a permanent basis, they are considered a non-qualified alien. If the agency is made aware of the applicant's non-qualified status, the client is ineligible for services and must be denied. Some indicators of non-qualified alien status are:

1. The client declares that he/she is not qualified (documented).
2. The client provides a copy of a foreign consulate ID card.
3. The client provides a copy of their Individual Taxpayer Identification Number (ITIN) card or number. An ITIN is issued by the U.S. Internal Revenue Service to individuals who are required to have a U.S. taxpayer identification number but who do not have, and are not eligible to obtain a Social Security Number issued by the Social Security Administration. These are not valid SSNs and will all start with the number nine (9).
4. The client provides a copy of a passport from a country outside of the U.S.
5. The client provides a copy of their student visa.
6. The client provides a copy of their SSN card that says "Valid For Work Only".

Calculating Income

An individual is not counted in the household size if citizenship or qualified alien criteria is not met. However, his/her income is counted in the household's total income.

Section I: Eligibility Criteria

Subsection 5: Household Composition

Definition

A household is defined as an individual or group of individuals related or unrelated, who share residential energy, and who have an energy cost.

Ineligible Households for Cash Assistance

1. Subsidized households that do not pay any out of pocket energy costs.
2. Persons living in licensed facilities (nursing homes, assisted living, etc.).
3. Temporary shelters or group homes with residents who have no energy expense or who pay a nominal fee to live there.
4. Single room dwelling, within a larger dwelling and the single room dwelling is not considered a separate household.
5. Persons who have no physical address.
6. Individuals who previously received assistance in another household during the same program year are considered ineligible household members.
7. Applicants under the age of 18 who are not legally emancipated and do not have a parent or legal guardian to apply on their behalf.

Ineligible Households for Weatherization

1. Persons living in licensed facilities (nursing homes, assisted living, etc.).
2. Persons who reside in only one room within a larger dwelling and is not considered a separate household.
3. Persons who have no physical address.
4. Applicants under the age of 18 who are not legally emancipated and do not have a parent or legal guardian to apply on their behalf.

Calculating Income for Ineligible Household Members

The income from ineligible household members should be counted toward the household's total income. However, the ineligible household members should not be counted towards the total household count.

Exceptions

1. Live-in Attendants - Individuals who reside within a household to provide necessary medical services and whose services are paid for in part or in full by a third party.
2. Persons living in multi-unit buildings - If a building contains more than one housing unit but has only one meter or tank that is shared by all the units, each unit may contain a separate household if each one functions as a separate economic unit (also known as submetered).
3. A person out of the home for reasons of employment, education, hospitalization, etc.; who continues to support or be supported by the

unit and who intends to return to the unit, will remain a member of the household.

4. A dependent child who is a student living away from his/her primary residence to attend an educational facility is considered to be a member of the primary residence.

Previously Served

Individuals who previously received LIHEAP assistance in another LIHEAP household during the same program year are considered ineligible household members to receive services. However, his/her income is counted in the household's total income.

Section I: Eligibility Criteria

Subsection 6: Dwelling Composition

Definition

A housing unit is a house, an apartment, a mobile home, a group of rooms, or a single room that is occupied (or if vacant is intended for occupancy) as separate living quarters.

All dwellings must be a permanent building and located in California. Clients can have a mail address in another state, but the location where they receive utility services must be in California.

Separate Dwelling

Separate dwellings are those in which the occupants live and eat separately from any other persons in the building and have direct access from the outside of the building or through a common hall.

The occupants may be a single family, one person living alone, two or more families living together, or any group of related or unrelated persons who share living arrangements.

Separate living quarters are defined as: "Quarters in which the occupants do not live and eat with any other persons in the structure and which have either direct access from the outside of the building or through a common hall or complete kitchen facilities for the exclusive use of the occupants."

Ineligible Dwellings

The following are considered ineligible dwellings:

- Clients renting a room in someone else's home.
  (Exception: client provides proof that his/her living arrangement adheres to the definition of "separate living quarters")
- Clients living in transitory, tent or temporary encampments (such as Slab City in Niland).
- Clients living in board-and-care facilities, nursing or convalescent homes, or in jail or prison.
- Clients that are homeless

Exception

The following are exceptions for dwelling eligibility:

- Clients living on boats, in a marina with a dock number and utility hook-up, are eligible for HEAP assistance.
- Clients living in mobile homes or RVs are ineligible for energy and weatherization services unless they meet the following criteria:
  1. The dwelling must not be mobile (i.e.: wheels have been removed, attached porch, etc.).
  2. The dwelling must have resided in the same location for a reasonable length of time.

Section I: Eligibility Criteria

Subsection 7: Priority

Background

The federal government enacted a law requiring states to target households with low-incomes and high energy costs, while taking into consideration households with elderly, disabled persons, and/or children five and under, (children under 19 – DOE WAP) (Public Law 103-252 Section 2603(1)(4)). The results will mean that households that received assistance in the past may not receive assistance for the current program year because they fall into a low priority group and are not considered among the neediest of the needy.

Prioritization is a method to consistently and fairly determine the need of individual clients, and how the agency elects to provide services based on need.

Policy

CSD issued a CSD Program Notice regarding prioritizing services (CPN E-12-08). Per the CPN, agencies are required to prioritize the delivery of services for all LIHEAP programs in accordance with approved "Prioritization Plans" (Exhibit H). Also, **all** clients must be screened and evaluated using the agency's approved priority plans.

Priority Plan

The following categories comprise the LIHEAP Cash Assistance priority plan. The points received in each category when totaled will determine if an application will be approved for assistance. Reference CPN E-12-08 for additional guidance on the Priority Plan.

Part	Function
Income	By assigning point values to households with the lowest incomes, those households most in need will receive greater weighting (priority consideration) for receiving services and ensure compliance with Federal law requirements for targeting.
Energy Burden	Higher point values are assigned to households paying a higher percentage of their income towards utility cost.
Vulnerable Population	Agencies must assign points if the household contains an elderly or disabled person or a child five and under.
Agency-Defined	Agencies may further customize their plans by establishing additional categories and point values unique to the needs of their community. The Agency-Defined must fit within the following set categories: medically needy, frail elderly, severe financial hardship, hard to reach and priority offsets.

Policy

CSD does not require agencies to obtain written documentation to verify the disability of an applicant. However, at the agency's discretion, it is reasonable to ask for proof of disability.

Proof of Disability

The following documentation is acceptable proof:

- Participation in a federal disability program (SSI, Veteran's disability, developmental disability programs in education).
- A statement from a doctor is reasonable to ask for if an client falls under the federal definition of disability.
- Self-certification statement.

Under federal law, if a person is "regarded as having impairment," the individual is considered to be disabled, whether or not it has ever been diagnosed or documented. Any self-certification statement should have a place where the client initials or signs the following statement: "I declare that I or one of my household members has a disability within the meaning of the Rehabilitation Act of 1973."

Subsection 9: Processing Social Security Numbers for Applications

Policy

CSD does not maintain the legal authority to require the submission of a SSN as part of the eligibility criteria. In such, a client cannot be denied for refusing to submit their SSN. However, CSD strongly encourages agencies to continue to request the SSN, as a unique client identifier, and to streamline the eligibility verification of clients.

Collecting Documentation

If an agency determines that copies of Social Security cards and/or driver's licenses are necessary, they can continue to request the information but cannot deny a client for refusing to submit the documents.

Appropriate measures must be taken to secure this sensitive information. It must be stored in a secure and locked location. Access to the location where client file information is maintained must be limited and regulated by internal controls.

Applications Received without a SSN

If after the initial review of the application, it is noted that the application was submitted without a SSN and a verbal confirmation is received from the client that they refuse to provide their SSN, the agency will complete the following step by step procedure for processing an application without an SSN:

Step	Action
1	Agency must confirm identity of client with any picture identification card. A copy of the picture identification used to confirm identity must be retained in the client file. Examples of acceptable forms of picture identification: • Driver's license • Employee ID card • School, library, bus pass etc.
2	After confirming the applicant's identity, perform a database search using the following information to assure that the client has not been served in the current program year: 1. Last and first name 2. Service address 3. Phone number 4. Utility Account Number
3	If the applicant's record is located in a prior year with an SSN, agencies can enter the application and use the SSN from the prior year on the current application. The application should be processed in the standard manner and will not need to be submitted to CSD.
4	When the client is determined eligible (meets income guidelines, agency's priority plan and has not been served in the current year) agency will arrange for the handling of the application without a SSN, by completing and submitting a fax coversheet, a

	copy of the intake form and supporting documents to CSD's Help Desk, via fax. Supporting documents must include: 1. Utility bill or a landlord statement for utilities included in rent 2. Copy of picture ID
5	CSD's Help Desk staff will perform a secondary duplicate check to confirm the client has not previously applied with an SSN. If a positive match is found, the Help Desk will provide the agency the previously used SSN for processing of the application.
6	If no match is found a unique filler number will be assigned by the Help Desk in lieu of a SSN.
7	Help Desk will confirm the filler number assigned to the client and provide the agency the temporary SSN via the return of the completed fax cover sheet.
8	Once the agency receives the confirmation with the assigned filler number, the agency will process the application in the standard manner. **Note: Once a client is assigned a temporary filler number, this number is to be used each and every year the client applies.**

The attempt to obtain the SSN and the reason for not providing the SSN by the client must be documented in the client file.

This procedure applies to both Cash Assistance and Weatherization applicants.

Requesting Additional Information

Agencies that require documentation above the minimum requirements (a copy of Social Security card, copy of a driver's license, or name, ages and Social Security numbers for all household members) cannot deny a client for services for failure to provide this additional information.

Guidelines for Protecting SSNs

The Department of Consumer Affairs offers the following guidelines to protect Social Security numbers and other confidential information:

1. Develop a written security plan for record systems that contain SSNs.
2. Develop written security policies for protecting the confidentiality of SSNs.
3. Provide training and written material for employees on their responsibilities in handling SSNs.
4. Conduct training at least annually and train all new employees, temporary employees and contract employees.
5. Impose discipline on employees for non-compliance with organizational policies and practices for protecting SSNs.

When discarding or destroying records in any medium containing SSNs or other confidential information, do so in a way that protects their confidentiality, such as shredding.

Subsection 10: Qualifying for Fast Track Assistance

Crisis Services

Crisis/emergency services have additional eligibility requirements for substantiating the condition of emergency under the various energy/weatherization programs. Emergency services can be provided under the following components: ECIP EHCS, ECIP WPO, SWEATS, and Fast Track.

Additional Requirements for Crisis Payments

There are additional requirements for processing crisis/emergency applications for cash assistance under the Fast Track program:

1. Fast Track payments shall only be made where an emergency energy-related crisis exists.
2. Clients must receive energy services from one of the following energy providers: utility companies; mobile home parks that own their own power source; or submetering billing services with legal authority to shut-off utility services.
3. An emergency energy related crisis does not exist if the cost of energy is included in the applicant's rent, in which case Fast Track payments shall not be made.
4. Documentation of the energy related crisis must be maintained in the client file.

Documentation

To qualify for a Fast Track benefit the client must provide proof of one of the following:

- Proof of utility shutoff notice
- Proof of energy termination
- Proof a utility account is past due
- Insufficient funds to establish a new energy account
- Energy related crisis or life-threatening emergency exists within the applicant's household
- Declared disaster

Pledge Process

Agencies are required by law (if the application is accepted) to resolve an energy crisis situation within 48 hours and a life threatening energy crisis situation within 18 hours.

To comply with this law, once an application has been approved, a pledge (promise to pay) is made to the utility company via phone, fax or e-mail.

Supplemental Payment	Under the Fast Track supplemental benefit provision, the total amount of the Fast Track payment cannot exceed the total amount of the entire bill or $1,000, whichever is less. The client file must contain proof of total bill amount and the current monthly energy cost.
Deposits	Fast Track funds can be used to pay for the deposits if the utility company adds the deposit amount to the service account. If the utility company assigns a separate account for the deposit, Fast Track funds cannot be used to pay on the deposit account. LIHEAP funds cannot be used to pay on deposits if the deposit ultimately gets refunded to the customer.

Subsection 11: Completing the Intake Form CSD 43

Purpose	To assess a household's need and to determine eligibility for LIHEAP and DOE services. The client is the primary source of information in establishing eligibility for LIHEAP and DOE assistance and must furnish the required verification to establish household eligibility. The proceeding sections must be filled out on the intake form.
Agency Information	The agency name and initials of the intake worker must be included on the intake form.
Intake Date	The intake date can be one of two dates: 1. The date in which the application was received by the agency 2. The date in which the application is considered complete
Eligibility Cert Date	The date in which the client is eligible to receive services. The Eligibility Cert Date is to be used for Utility Assistance and Weatherization applications.
Applicant	The individual that is the client must be the person that signs the application. The client does not need to be the head of household or the person named on the utility bill, but they must reside in the residence.
Date of Birth	The date of birth of the client must be written on the intake form.
Mail Address	The address where the client receives mail. Mailing address may be a PO box. It may also be out of state.
Service Address	• The address where the applicant's household uses energy • May be a descriptive address • Cannot be a PO box or out of state
SSN	Agencies must continue to request a nine digit Social Security Number (SSN) from the applicant. The last four digits of the SSN are not acceptable.

Phone Number	Residential phone number with area code for the applicant.
Number in Household	Includes the client and all other members of the household. See Household Composition for definition of household members.
Demographics	Every member of the household must be in the demographics section.
Household Members Receiving Income	The number of members in the household receiving income must be recorded. Each person who receives income must also provide proof of their monthly gross income.
Income	Total gross monthly income documentation of all members of the household over 18 years of age must be included in the client file.
Utility Company	For Utility Assistance, the name of the utility company the client wants the benefit applied to.
Bill Name	Name of the customer of record on the utility bill. The client does not have to be the customer of record to receive benefits.
Account Number	For Utility Assistance, the account number for the benefits to be applied to. No account number is required if utilities are included in rent or the client is submetered.
Utilities Included in Rent	Check the box when the client pays for utility costs as part of their rent or if the applicant's utilities are submetered. An actual or estimate of the portion of rent that goes toward the utilities is required to calculate energy burden.
Signature	Must be signed by the client or by a witness if the client is unable to sign their name. The spouse of the client cannot sign the application in lieu of the applicant.
Program	The agency is responsible for selecting the appropriate program that the client will be assisted under. If the client is being assisted with Utility Assistance, either the HEAP or Fast Track box must be checked. If there is to be a supplemental amount with a

Fast Track application, the supplement must be written in the appropriate area.

If the client is being referred from Utility Assistance to Weatherization, check the appropriate referral box.

If the client is being assisted with Weatherization, one of the following boxes must be checked: DOE, LIHEAP WX, or ECIP HCS.

Type of Dwelling

Check the appropriate dwelling type of the household applying for services.

Energy Cost

Total of the most current energy costs, including all sources of energy used in the household. A copy of the energy bill for the company selected for benefits must be in the client file.

Energy Burden

Divide the total monthly energy costs (from all energy sources) by the total monthly household income to arrive at a percent of energy burden.

Agency Defined Priorities

In accordance with the agency's LIHEAP Priority Plan, select which agency defined category or categories the client falls under.

Priority Points

For Utility Assistance, the intake worker must include the points the client received based on the agency's priority plan.

Job Control Code

For all Weatherization programs, the agency's internal code for each job.

Picture Identification

When confirming the identity of clients during the above mentioned process, and requesting picture identification, there is a possibility of being informed of an applicant's ineligible status. Certain forms of picture identification can be indicators that a client is a non-qualified alien, and therefore ineligible for services.

It is not required for Private Non-Profit agencies to verify citizenship, but if during the intake process the agency is made aware the client is a non-qualified alien, services must be denied. The following forms of identification are indicators that a client might not be eligible for federal service:

1. Foreign consulate ID cards
2. Foreign passport
3. Student visa

Purpose

All factors of eligibility must be verified and documented in the client file. Copies of all verifications must be maintained in the client file.

HEAP Required Documentation

HEAP client files must contain specific documents:

1. Completed and signed intake form CSD 43. The client name and signature must be the same person. The client does not need to be the customer on the utility bill.
2. Copy of the utility bill from the company that will receive the HEAP payment, current within six weeks of intake. It is important to collect bills from all sources of energy used in the household to determine the actual energy burden. However, copies of all sources are not required.
3. Copies of the proof of income documentation for all members of the household for a one month period, current within six weeks of intake.
4. Verification of energy conservation education and budget counseling.
5. If the agency is required to verify citizenship, the file must contain proof as directed.

Fast Track Required Documentation

Fast Track client files must contain one of the following proofs of energy crisis, as well as all of the requirements for HEAP listed in the previous section:

- A shut off notice,
- Proof that services have been disconnected,
- Proof that the account is in arrears, or
- A deposit is needed to establish services (as long as the utility company does not assign a new account to the deposit or credits the customer with the deposit amount).

LIHEAP WX Requirements

LIHEAP Weatherization files must contain all of the requirements for HEAP listed above:

Historic Preservation Review

Certain dwellings in which Weatherization work is to be performed require a HPO Review. The following criteria under which a HPO Review is required:

- If the dwelling is 45 years or older
- If the dwelling is listed on the National Register of Historic Places (NRHP)
- If the dwelling is eligible for listing on the NRHP

Not Required by CSD

CSD does not require a copy of the applicant's :

- Social Security card
- Driver's License
- Name, date of birth and social security number for all members of household

It is at the agency's discretion to include these documents in the client file.

NOTE: Exceptions to this are in instances when a SSN is has not been provided. In such cases, a copy of the driver's license is required.

Confidential

Agency personnel will be exposed to and have access to information which is of a confidential nature. All client records are considered to be confidential and are open only to State and local agency personnel carrying out eligibility and audit functions. Such information should not be shared with unauthorized personnel.

Retention

All client files must be retained for 3 years from the contract close out.

Section II: Income Verification

Subsection 1: Income Calculation

Calculation Criteria

To create consistency in calculating income, agencies must calculate monthly income using the same method. The income calculations are to assist clients experiencing hardships and should not be used as a common practice to circumvent the requirements for collecting income documentation substantiating gross monthly countable income from all sources for qualified households.

The following criteria is to be used when assessing documentation utilized for calculating income:

- Proof of income must be current to within 6 weeks from the intake date (unless otherwise specified by the agency).
- Income must be the total gross countable income before deductions. (Exceptions: any child support taken directly from the check or Medicare deducted from the client's Social Security benefit).
- Income document(s) should cover a one-month period unless client did not work a full month.
- Income cannot be annualized.
- Seasonal worker's income must be based on the actual current income at time of intake.

Total Income Submitted

When four weekly, two bi-weekly or two bi-monthly consecutive paystubs are submitted as proof, add the gross countable income of all stubs to calculate monthly income.

Hardship Documentation

Documentation for accepting partial income must be kept in the client file.

If a client will experience an extreme hardship in providing verification of a full month's income or current income verification, the hardship needs to be documented in the client file. The client must submit a statement explaining their inability to provide the full month's income or current income and the hardship they are experiencing.

Income Formulas

How to calculate incomplete earned income documentation:

- A weekly gross countable income must be multiplied by 4.333 to total one month's income.
  - $550 weekly X 4.333 = $2,383.15 monthly income
- Bi-weekly gross income should be multiplied by 2.167 to calculate one month's income.
  - $1,200 bi-weekly X 2.167 = $2,600.40 monthly income

- Bi-monthly gross income should be multiplied by 2
  - $1,200 bi-monthly X 2 = $2,400.00 monthly income
- Quarterly gross income (including any interest and dividends) should be divided by 3 to arrive at a monthly average.
  - $4,000 quarterly ÷ by 3 = $1333.33 monthly income

Note: The income calculation is meant to assist clients experiencing hardships and not to be used as a common practice to circumvent the requirements for collecting income documentation or for substantiating gross monthly income from all sources for qualified households.

Exceptions

Example A

Stated Income on Intake Form:	$800
Weekly Pay Stub:	$200
Income using formula ($200 X 4.333)	$866.60

Example A is an acceptable method for utilizing the income formula for determining monthly income as the monthly calculated income reconciles within reason with the applicant's statement of gross monthly income on intake form. In this example the total household income entered would be $866.60.

An adjustment to the income statement on the intake form can be made by the intake worker to match the provided proof. The intake worker can line through the statement (in a distinctive color) of $800 and write in the correct amount of $866.60 and initial the correction.

Example B

Stated Income on Intake Form:	$0
Weekly Pay Stub:	$200

Example B is an unacceptable situation to allow the utilization of the income formula for determining applicant's monthly income. The proof of income provided does not reconcile against the income stated on the intake form. The client must declare their monthly income. Another attempt must be made to contact the client to explain and resolve the discrepancy.

Not Working a Full Month

For clients that have not worked a full month, the formulas are not to be used to calculate a month's worth of income.

The client must provide the paystubs of the weeks they have worked and the intake worker must document the file with the amount of time the client has worked in the last month and the income received during that time.

Annual Statements and Bank Deposits	For award or annual statements, DO NOT use the date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current. Automatic Bank Deposit - the date of the deposit or the issue date of the statement can be used to determine if the document is current to within 6 weeks of intake date.
Unqualified Alien Income	An individual who is not a citizen or a qualified alien is not counted in the household. However, his/her income is counted towards the household's total income.

Subsection 2: Acceptable Income Documentation – Public Assistance

Definition

Public assistance or welfare payments include cash public assistance payments low-income people receive, such as Aid to Families with Dependent Children (AFDC) Aid to Dependent Children (ADC), California Work Opportunity and Responsibility to Kids (CalWORKS), General Assistance (GA) and General Relief (GR).

Acceptable Proof

Proof of income for these items must cover a one month time period and be current to within 6 weeks of the application intake date. The following are considered acceptable proof:

- Copy of current check
- Current Notice of Action
- Current verification from worker with amount of payment and date
- Food Stamp verification with current income amount listed
- Current aid printout summary
- Copy of bank statement showing direct deposit (the date of the deposit or the issue date of the statement can be used to determine if the document is current to within 6 weeks of intake date)
- Passport to Services printout summary

Unacceptable Proof

The following are not considered acceptable proof:

- Outdated or altered information
- Medi-Cal cards
- Food Stamp verification with no income amount or date
- Notice of Action stating homeless aid

Exceptions

The following are not considered as countable income:

- Overpayment adjustments should not be deducted from the gross aid amount.
- Food Stamp allotment amounts are not considered income and should not be used when calculating income.
- Assistance paid directly to the rental company, landlord or mortgage company should not be counted towards income
    - (Example: client received $500 from GR, but $200 is directly paid for housing costs to the landlord. Only $300 of the GR should be counted as income.)

Section II: Income Verification

Subsection 2: Acceptable Income Documentation – Earned Income

Definition

Earned income includes all taxable income from wages people receive for work performed before deductions.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Current copy of pay stub(s) covering 1 month of gross income before deductions (if multiple stubs, they must be consecutive)
- Letter from employer with company letterhead, address, phone number, the gross amount and current pay period
- Notice of Action showing earned income

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without dates
- Copy of check(s) showing net amount only
- Federal and State Tax Forms (exception: self-employed)
- W2 Forms
- Non-consecutive pay stubs or checks
- Employers' letter not showing gross income amount
- Food Stamp verification with no dollar amount listed
- Renter's Credit Form
- Copy of bank statement
- Military pay showing base pay only

Note: Documentation for earned income must not be annualized and then calculated to a monthly level.

Section II: Income Verification

Subsection 2: Acceptable Income Documentation – Social Security

Definition

Social Security includes pensions, survivor's benefits and permanent disability insurance payments made by the Social Security Administration (SSA) prior to deductions for medical insurance.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of check
- Payee's (income recipient) letter of verification showing income amount
- Notice of planned action
- Copy of bank statement showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.
- HUD statement from Department of Housing with a Social Security amount
- Form 1099 (only acceptable if intake date is within the 6 week period following January 1st of the current year)

For the following items, DO NOT use the actual date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current.

- Annual benefit letter with current dates (Example: date of letter is December 2014, but letter states client will receive $500 beginning January 2015).
- Computer printout or letter that states the current annual benefit amount.
- Form 2458 completed by Social Security Office.

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Benefit letter with no income amount or date
- Payee's letter of verification not showing income amount
- Medicare cards

Exceptions

The following are exceptions:

- Overpayment adjustments should not be deducted from the gross aid amount
- Medicare premiums are not considered income and must be deducted from the total gross amount

Hardship Documentation

Clients should be expected to provide current verification for one month. The only exception would be when the request for additional documentation would cause undue hardship for the client and the income can be substantiated using an outdated form of documentation. The client must submit a statement explaining their inability to provide the documentation and the hardship they are experiencing.

Example: *Elderly woman, 90 years old, using public transportation to the agency, submits a copy of a Social Security check that is beyond the 6 week limit. It is reasonable, in this case, to assume that her income, Social Security, has not changed and it is acceptable to process the application with the income verification submitted. It would be an extreme hardship for the client to return with current documentation.*

Note: The alternate documentation should be in the same calendar year.

Subsection 2: Acceptable Income Documentation – SSI/SSP

Definition

Supplemental Security Income (SSI) and State Supplementary Payment (SSP) income includes federal and state payments to low-income people who are 65 years of age and older or people of any age who are blind or disabled.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of check
- Payee's (income recipient) letter of verification showing income amount
- Notice of Planned Action
- Copy of bank statement showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.
- HUD statement from Department of Housing with a Social Security amount (current within year of the eligibility period)
    - This document can be used to document the total household income, similar to a Passport to services or welfare printout

For the following items, DO NOT use the actual date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current.

- Annual benefit letter with current dates (Example: date of letter is December 2014, but letter states client will receive $500 beginning January 2015)
- Computer printout or letter that states the current annual benefit amount
- Form 2458 completed by Social Security Office

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Benefit letter with no income amount or date
- Payee's letter of verification not showing income amount
- Medicare cards

Countable Income

The following are exceptions:

- Overpayment adjustments should not be deducted from the gross aid amount
- Medicare premiums are not considered income and must be deducted from the total gross amount

Section II: Income Verification

Subsection 2: Acceptable Income Documentation – Pensions/Retirement

Definition

Pensions and retirements include payments received from the following sources**:** companies or unions; federal government (Civil Service); military; state or local governments; railroad retirement; annuities or paid-up insurance policies; individual retirement accounts (IRAs), Keogh or 401 (k) payments; or other retirement income.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of check
- Form 1099 (Only acceptable if intake date is within the 6 week period following January 1st of the current year)
- Direct deposit showing net income

For award or annual statements, DO NOT use the date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current to within 6 weeks of the application intake date.

- Pension verification (i.e., letter or printout. Time frame of benefit must be current)
- Annual statement from pension plan

Unacceptable Proof

The following are not considered proof:

- Outdated or altered information
- Benefit letter with no income amount or date
- Bank Statement showing direct deposit shows net income

Section II: Income Verification

Subsection 2: Acceptable Income Documentation – Unemployment Compensation

Definition

Unemployment compensation includes payments received from government unemployment agencies or private companies during periods of unemployment, including any strike benefits from union funds.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of current checks (must be consecutive)
- Current check stubs (must be consecutive)
- Current printout
- Current award letter
- Current printout of bank statement showing original deposit from awarding entity (Example: Employment Development Department uses an automatic deposit to a Bank of America debit card. Printouts showing the deposit can be obtained directly from any Bank of America)

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without a date
- Award letter without income or date
- Non-consecutive checks or stubs
- Less than one month's verification

Subsection 2: Acceptable Income Documentation – Workers' Compensation

Definition

Workers' Compensation includes payments people receive periodically from public or private insurance companies for injuries received at work**.**

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of current check(s)
- Current check stub(s)
- Current printout
- Current award letter

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without a date
- Award letter without income or date

Subsection 2: Acceptable Income Documentation – Veterans' Benefits

Definition

Includes payments to disabled members of the armed forces or survivors of deceased veterans receiving periodical payments from the Department of Veterans Affairs for education and on-the-job training, and means-tested assistance to veterans.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of current check
- Current check stub
- Current printout
- Current award letter
- Bank statement with direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.

Unacceptable Proof

The following are not considered proof:

- Outdated or altered information
- Benefit letter with no income amount or date

Exceptions

The following are not considered as countable income:

- Assistance paid directly to the rental company, landlord or mortgage company should not be counted towards income
  - (Example: Client received $500 from the VA, but $200 is directly paid for housing costs to the landlord. Only $300 of the VA benefit should be counted as income)

Section II: Income Verification

Subsection 2: Acceptable Income Documentation – Self-Employment and Rental Income

Definition

Countable income from self-employment is the gross income from any trade or operated business, minus the applicant's operating expenses for that trade or business, as specified below. Countable income shall also reflect the applicant's share of profit or loss in any partnership for the most recent tax year, as reported on Federal income tax returns. Countable rental income is the gross income from subleasing, leasing or renting a property less the applicant's share of operating expenses for the rental property.

Operational Expenses for Self-Employed

The following are operational expenses for self-employed and are not considered income:

- Taxes required for operation of the business
- Licenses and permit fees
- Rent payments
- Insurance
- Labor costs
- Maintenance
- Products used to operate the business
- Interest on debts
- Actual food costs for self-employed babysitters

Not Included in Operational Expenses

Business expenses do not include:

- Payments on the principal of the purchase price of and loans for capital assets such as real property, equipment, machinery and other goods of durable nature
- Principal and interest on loans for capital improvement of real property
- Net losses from previous periods
- Federal, state, and local taxes
- Money set aside for retirement purposes
- Personal expenses, entertainment expenses, and personal transportation
- Depreciation on equipment, machinery, or other capital investments necessary to the self-employment enterprise

Operational Expenses for Rentals

The following are operational expenses for rentals and are not considered income:

- Interest on debts
- Taxes
- Insurance

- Maintenance
- Utilities, if paid by renter
- Real estate agent's fees

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Current copy of ledger or journal (Handwritten information is acceptable)
- Signed self-employment statement showing gross receipts, gross expenses, and net income for a one month time period
- Copy of current signed and dated 1040 Federal Tax Form, signed by applicant(s) OR licensed tax return preparer (or both).
    - The current year's Tax Form 1040 is acceptable until the following year's filing date of April 15 (ex: 1040 for 2013 is acceptable until April 15, 2015).
    - Form 1040 must show a dollar amount, either on line 12 or 17, to be valid income verification for self-employment or rental income. When using a 1040 Tax Form, calculate monthly gross income from rental or self-employment by dividing the amount on line 22 by 12 months. If line 22 is zero or a negative amount, set the income amount on the application to zero (0). Any carryover of net operating loss(es) from previous tax years (may be listed on line 21) shall NOT be deducted from countable income.
        - Schedule C (for self-employment) or Schedule E (for rental income) must be submitted with the current 1040.

Unacceptable Proof

- Outdated or altered information
- Unsigned 1040 Federal Income Tax Form
- 1040 Tax Form showing no dollar amount on self-employment or rental income (line 12 or 17)
- Profit or Loss Tax Form (Schedule C) without 1040
- Supplemental Income and Loss Tax Form (Schedule E) without 1040
- Any other tax form (i.e.: 540 State Tax Form, 1040EZ Tax Form, 1040A Tax Form)

Example: Determining Self Employment Income from 1040 Tax Form

John Doe is a freelance writer with a household of three. His most recent 1040 tax return contains the following information:

Line 12: Business Income (or Loss) Amount = $14,500.
Schedule C: Identifies total receipts from business, minus itemized operating expenses. Should match Form 1040, Line 12 = $15,000.

Line 22: If different from Line 12, check for countable rental income on Line 17. *Only amounts listed on Lines 12 and 17 should be used to calculate*

income – disregard other distributions, net operating loss carryovers, etc.

- John's Line 22 includes only the business income from Line 12. Therefore, 14,500 / 12 = $1,208.33. This is John's countable income from self-employment for purposes of determining LIHEAP eligibility.

Subsection 2: Acceptable Income Documentation – Survivors' Benefits

Definition

Survivors benefits include payments received from survivors' or widows' pensions, estates, trusts, annuities, or any other types of survivor benefits, from private companies or unions; federal government (Civil Service); military; state or local governments; rail road retirement; worker's compensation; black lung payments; estates and trusts; annuities or paid-up insurance policies; and other survivors benefits.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Copy of current check
- Current check stub
- Current printout
- Current award letter
- Bank statement with direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without a date
- Award letter without income or date

Subsection 2: Acceptable Income Documentation – Interest

Definition

Interest includes payments received or have credited to accounts from bonds, treasury notes, IRAs, certificates of deposit, interest-bearing savings and checking accounts, and all other investments that pay interest.

Note: Only the interest used for household support is considered income**,** not the original deposit.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Current copy of check(s)
- Current statement(s) from financial institution(s)
- Current copy of financial statement(s) showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date
- Form 1099 (Only acceptable if intake date is within the 6 week period following the issuance of the Form 1099)

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without a date
- Financial statement(s) without a dollar amount listed
- Federal and State Tax Forms

Subsection 2: Acceptable Income Documentation – Dividends/Royalties

Definition

Dividends are returns on capital investments, such as stocks, bonds, or savings accounts. Royalties are compensation paid to the owner for the use of property, usually copyrighted material or natural resources such as mines, oil wells, or timber tracts. Royalty compensation maybe expressed as a percentage of receipts from using the property or as an amount per unit produced.

Acceptable Proof

Proof of income for these items **must cover a one month time period and be current to within 6 weeks** of the application intake date. The following are considered proof:

- Current copy of check(s)
- Current statement(s) from financial institution(s)
- Current copy of financial statement(s) showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date
- Form 1099 (Only acceptable if intake date is within the 6 week period following January 1st of the current year)

Unacceptable Proof

The following are not considered proof:

- Outdated information
- Information without a date
- Financial statement(s) without a dollar amount listed
- Federal and State Tax Forms

Policy

Certain types of income are to be excluded from the total household income, for the purposes of the LIHEAP and DOE programs. Verification of the non-countable income or excluded income being received must be retained in the client file.

Authority

Federal Law Title 42 Chapter 94
In verifying income eligibility for purposes of subsection (b) (2) (B) of this section, the State may apply procedures and policies consistent with procedures and policies used by the State agency administering programs under part A of title IV of the Social Security Act [42 U.S.C. 601 et seq.], under title XX of the Social Security Act [42 U.S.C. 1397 et seq.], under subtitle B of title VI of this Act (relating to community services block grant program) [42 U.S.C. 9901 et seq.], under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 [42 U.S.C. 2701 et seq.] before August 13, 1981, or under other income assistance or service programs (as determined by the State).

Subsection (b) (2) (B) - households with incomes which do not exceed the greater of- (i) an amount equal to 150 percent of poverty level for such state; or (ii) an amount equal to 60 percent of the State median income.

Student Assistance

All student assistance is excluded. This includes Grants, Scholarships, Fellowships and Gifts/Pell Grants/Federal Perkins Loan**s**, Federal Supplemental Education Opportunity Grants, Leveraging Educational Assistance Program (LEAP), Department of Education and Bureau of Indian Affairs (BIA), University Year for Action and work study.

Foster Care Payments

Payments received for the care of foster children or foster adults, who are unable to live alone, are not counted income.

Child Support Payments

The amount paid as a result of a Court ordered or mandated child support agreement, should be deducted from the total household income. Proof of the mandated child support payments is to be kept in the client file.

Parental entities receiving child support payments should include the amount

	paid for the child(ren) in the total countable household income.
In Home Care Provider	The income of a live-in aid* or amounts paid by a State agency (In Home Supportive Services) to a family or non-family member to offset the cost of services and equipment needed to keep the family member at home will not be included in total household income. *Live-in aid is defined a person who resides with one or more elderly persons (at least 62 years old), or near elderly persons (at least 50 years old), or persons with disabilities, and who: 1. Is determined to be essential to the care and well-being of the person(s); 2. Is not obligated for the support of the person(s); and, 3. Would not be living in the unit except to provide the necessary supportive services.
Income from a Minor	Income from employment of children (including foster children) under the age of 18 years will be excluded from countable household income.
Food Stamps	The value of the coupon allotment provided to any eligible household.
Medicare and Medical	The value of medical expenses paid directly to a heath care provider on behalf of the household.
Medicare Deductions	The deduction for Medicare from Social Security benefits.
Gifts and Inheritances	One time lump sum inheritances or gifts.
Disaster Assistance	Payments made by federal service providers under a presidential declaration of disaster including, but not limited to, individual family grants from the Federal Emergency Management Agency (FEMA).
Victims of Crime Payments	All payments to victims of a crime (Victim's Compensation).
Reparation Payments	Payments to Aleut people and people of Japanese ancestry under Public Law 100-383.

Victims of Nazi Persecution	Payments made to individuals because of their status as victims of Nazi persecution shall be disregarded in determining eligibility.
Older Volunteers	Older Americans Volunteers Act of 1965 – Income paid to participants in programs carried out under the Community Service Employment Program (Title V of the Older Americans Act), including Green Thumb, Senior Health Aides, Senior Companions.
Domestic Volunteers	Domestic Volunteer Service Act of 1973(P.L.93113) - Income paid to participants - Title I: Volunteers in Service to America (VISTA), AmeriCorps, University Year for Action (UYA), Urban Crime Prevention Program. Title II: Retired Senior Volunteer Program (RSVP), Foster Grandparent Program, Older American Community Service Program (Senior Health Aides, Senior Companions). Title III: Service Corps of Retired Executives (ACE)
Vietnam Veterans	Vietnam Agent Orange Benefits. Benefits **given** for the dependents and survivors of Vietnam veterans who suffer from certain birth defects.
Native American Land	The value of land taken from and later added back to Indian reservations must not be considered income.
Native American Judgments	Indian per capita judgment payments made to any tribe or group whose trust relationship with the federal government has been terminated and for which legislation was in effect before October 12, 1973 authorized the disposition of its judgment funds.
Non-cash	Any non-cash Federal or State Benefits.
Workforce Investment Act (WIA)	Title I of the Workforce Investment Act of 1998: Supportive services to participants including assistance that enables people to participate in the program, such as transportation, health care, child care, handicapped assistance, meals, temporary shelter, counseling, and other reasonable expenses or participation in the program.
Advance Pay	Advance pay means the state sends you funds before your In-Home Supportive Services are performed, so you can pay your care provider directly. To get advance pay, you must be considered “severely disabled,” meaning you need at least 20 hours per week in personal care services, meal preparation and cleanup, and/or paramedical services.

Nutrition Programs	• Benefits from Women, Infant, and Children (WIC) program • Agriculture Nutrition Act of 1949 Section 416: value of federally donated food acquired through price support operations for school lunch or other distribution to needy people • Child Nutrition Act: the value of assistance to children under this Act • National School lunch Act: the value of assistance to children under this Act. • Meals for Older Americans, School breakfasts, lunches and milk programs
Job related Expenses	For non, self-employed clients that do not file income tax as self-employed (a sales person or a truck driver/taxicab driver) and who pay business expenses and also receive a paycheck, deduct the business expenses from the household's total gross income.
Employer Paid Benefits	Most employers providing benefits make a contribution to the cost of the benefit, with any remaining cost to be paid by the employee through payroll deduction. The employer contribution is not income. The payroll deduction is income.
Prizes and Awards	A prize is generally something received in a contest, lottery or game of chance. An award is usually received as the result of a decision by a court, board of arbitration, or the like.
Sale or Exchange of Property	Capital gains people received (or losses they incur) from the sale of property, including stocks, bonds, a house, or a car (unless the person was engaged in the business of selling such property, in which case count the net proceeds as income from self-employment).
Other Exclusions	• Military combat pay • Draw down from Reverse Mortgage • Tax Refunds • Loans • Withdrawal from Savings • Food or housing received in lieu of wages • The value of food and fuel produced and consumed on farms • One-time Insurance Payments • Compensation for Injury • Federal or State Mortgage Assistance Programs (i.e., Keep Your Home California)

Subsection 4: Undocumented Sources of Income

Definition

Cash income from irregular sources including but not limited to, babysitting, mowing lawns, redeeming cans/bottles, paid in cash or selling personal property.

Self-Certification

Self-declaration is only acceptable when all reasonable steps to obtain hardcopy or supporting verification have been exhausted and it would create an undue hardship for the client if they are required to pursue other verifications. Undue hardship is defined as special or specified circumstances that can partially or fully exempt a person from performance of a legal obligation so as to avoid an unreasonable or disproportionate burden or obstacle.

Acceptance of this type of verification must be fully justified and documented in the client file. A client self-certification statement CSD 43B, may be used for proof of income when the client does odd jobs from various sources and cannot obtain verification or if the third party who is asked to complete a form or statement on behalf of the client refuses to provide a signed document. If the self-certification statement is used, it must provide enough information to accurately determine the applicant's countable income.

NOTE: Third party non-cooperation cannot cause the client to be denied services.

Introduction

Clients claiming no income must reveal their source(s) of support. Client households with zero income or expenses that exceed the income, requires the intake worker to determine how the household is meeting its current living expenses. Current living expenses include but are not limited to: rent/mortgage, utilities (gas, power, trash, and phone), food, insurance and car payments.

This procedure does not apply to households that submit proof of non-countable income and/or excluded income, even though their income is set to zero. The verification of non-countable income or excluded income must be included in the client file.

LIHEAP Policy – No Income Certification

For LIHEAP applicants, after all attempts to collect documentation have failed, a self-certification statement, CSD 43B, completed and signed by the client claiming no income, is acceptable. A LIHEAP self-certification statement **does not require notarization**. All attempts to obtain documentation and the reason for accepting the self-certification must be documented in the client file.

First Year - The first year a client claims no income, the household may declare their sources of support on the Survey of Income and Expenses CSD 43B, without documentation.

If every adult in the household reports no income for the eligibility period, the client must complete the CSD 43B. Eligibility should be based on the reported information.

Succeeding Years - When a client reports no income for two or more years, the client must complete the CSD 43B, and provide documentation where requested. Support claims must include documentation or sources for verification.

Agencies must obtain written or verbal verification of regular support from others reported on the form. Eligibility will be based on documentation submitted with the form or verified during the follow-up.

DOE Policy – No Income Certification

In accordance with The Department of Energy, Weatherization Program Notice 10-18, effective December 2011, all applicants applying for DOE services with undocumented income or zero income, only after all other avenues of documenting income eligibility are exhausted, self-certification is allowable. Evidence of the various attempts at proving eligibility must be contained in the client file, including a **notarized statement** signed by the client that he has no other proof of income.

If the applicant qualifies for either LIHEAP program (Utility Assistance or Weatherization), then is moved to the DOE program for weatherization, their CSD 43B will travel with them and qualify them for DOE, it does not need to be notarized.

Note: If 120 days passes and their income eligibility for DOE needs to be re-established, they will follow the same "Zero Income Notarization" rules that apply to an applicant entering through the DOE program.

On an exceptional basis, if an agency absolutely cannot obtain a notarized self-certification statement, the Executive Director of the agency may sign the form and take responsibility for the self-certification statement.

Denial

Inadequate information on the form is cause for denial of benefits.

Section III: Energy Cost Verification

Subsection 1: Energy Cost Criteria

Introduction

The utility bill provides verification of the physical address, energy costs and other valuable utility account information to ensure the delivery of utility assistance benefits by means of direct payment to utility service providers.

Bills must include

Energy bill(s) must contain a billing period of at least 22 days and be **current to within 6 weeks** of the application intake date. The energy bill also must provide the amount of the household's current energy costs and the following:

1. Service address - In rural areas, the service address can be descriptive (Example: 3rd house on the left, past the gas station, etc.)
2. Account number
3. Name of the utility company
4. Customer's name
5. The dollar amount of a full month's energy costs (at least 22 days), some exceptions may apply. Please contact the Help Desk for assistance
6. Fast Track applications: the documentation must include the total amount due on the bill (current and past due and all other changes)

Acceptable

Acceptable energy bills include current, delinquent, shut-off notices, or energy statement/print-outs that indicate usage without added fees and provide the required information referenced above.

All utility bills must be current to within six weeks of the intake date using the service dates, not the issue date of the bill.

Exception: When clients are trying to re-establish services on a closed account (closed due to non-payment) that has no current charges, the issue date of the bill is to be used to determine if it is current. Since the service period will not be current, the current energy charges for that utility will be set to zero on the application.

Unacceptable Verification

The following are considered unacceptable energy cost verification:

1. Closing bills
2. Altered bills
3. Service address on the utility bill does not match the client's

service address
4. Outdated utility bill
5. Deposit accounts or accounts in collections

Section III: Energy Cost Verification

Subsection 2: Interpreting Energy Cost

Introduction

The total monthly energy cost consists of the entire amount of energy costs incurred for the most current month. Allowable energy costs include usage and all monthly charges.

Example Energy Bill

Below is an example of the charges to be included in calculating energy cost:

Summary of Charges	CARE Discount Applied	Amount
Customer Charge	29 Days x 0.13151=	$3.81
CARE Baseline	14 Therms x 0.61643=	$8.63
CARE Over Baseline	15 Therms x 0.76267=	$11.44
Gas Charges		**$23.88**
State Regulatory Fee	29 Therms x 0.00076=	$0.02
CARE Public Purpose Surcharge	29 Therms x 0.01881=	$0.55
Taxes & Fees on Gas Charges		**$0.57**
Total Gas Charges Including Taxes and Fees		**$24.45**
	Current Level Pay Amount	**$34.00**
	Total Amount Due	34.00

Note: The total amount due (current level pay amount) is not used to calculate energy cost. Based on the example above, current monthly charges are to be used. The total amount of monthly energy cost is $24.45**.** (**23.88 + 0.57** = $24.45)

Section III: Energy Cost Verification

Subsection 3: Utilities Included In Rent

Introduction

Clients that pay their utility costs as a portion of their rent are eligible to receive LIHEAP assistance. Public Law 97-35, Title XXVI, Section 2602 (8)(B) "the State will treat owners and renters equitably under the program assisted under this title".

Documentation

To qualify to receive services clients must provide the following documentation:

1. Date
2. Tenant/Customer's Name
3. Service Address
4. The amount of rental charges covering energy expenses
5. Landlord's signature
6. Photocopied and faxed letters of utility cost verification
    - Agency must keep a dated copy with a wet signature on file for each multi-family dwelling. Letter must contain service address, date, and the location of the original signature.
    - This document maybe photocopied for insertion into the client file of other tenants in that building.
    - A newly signed landlord letter must be obtained each program year.

Acceptable Documentation

Documentation must include a time frame current to six weeks from intake date

- Must indicate the dollar amount of the applicant's monthly rent that is applied towards energy costs
- Rental agreement that indicates utilities included in rent
- Rental receipt that indicates utilities included in rent
- Original or faxed letter signed by landlord/manager
- HUD statement showing zero utility allowance
- Billing services statement that indicates submetered

Unacceptable

- Documents that do not show energy charges
- Documents that have been altered
- Outdated information
- Landlord statements that are unsigned
- Letter that does not indicate customer name and apartment number if applicable

Section III: Energy Cost Verification

Subsection 4: Energy Burden

Definition

The percentage of household income used to pay household energy expenses. This is determined by dividing the household's monthly energy cost by the household's total gross monthly income.

Utility Bills

Clients are requested to submit all of their energy utility bills for a one-month period (gas and electric, wood and propane, or any combination thereof).

In instances where a household is unable to obtain a copy of a secondary energy bill, it is acceptable to have the client estimate the cost of their absent energy bill(s). This estimation should be documented and maintained in the applicant's file. HEAP assistance can only be made to a utility company where a bill is present; therefore, the client must provide the bill from the utility service provider to which the HEAP/Fast Track assistance will be issued.

Utility Provider

Eligible households may only select one utility company to receive assistance.

Calculating Energy Burden

The following is the methodology for calculating energy burden:

1. Use all energy utility costs to calculate the total energy costs for a one-month period (gas and electric, wood and propane) when calculating energy burden. Use the entire amount owed for the current one-month period. This can include the usage amount, surcharges and/or taxes. Do not include in the total arrearages from a previous month(s).
2. Total all household income for one month.
3. Divide the household's total gross monthly income by the household's total monthly energy cost. The resulting percentage is the household energy burden.

Note: For the purpose of calculating energy burden, the costs associated with leasing solar panels should not be included in the calculation.

Utility Allowance

Households receiving a utility allowance (i.e., Department of Housing and Urban Development's Allowances from Tenant-Furnished Utilities) shall have their energy burden calculated only by using the out of pocket expense for their utility payment and not the subsidy. The client must substantiate out of pocket expense by showing proof of utility payment outside of the utility allowance paid against the energy cost.

Sample Calculation

Calculating energy costs:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Calculate total energy costs
<table>
<tr><th>Commodity</th><th>Charges</th></tr>
<tr><td>Monthly electricity</td><td>$45.15</td></tr>
<tr><td>Monthly gas</td><td>$56.36</td></tr>
<tr><td>Total energy costs</td><td>$101.51</td></tr>
</table></td></tr>
<tr><td>2</td><td>Calculate total monthly income
<table>
<tr><th>Source</th><th>Amount</th></tr>
<tr><td>Social Security</td><td>$1,100.00</td></tr>
<tr><td>Pension</td><td>$250.00</td></tr>
<tr><td>Total income</td><td>$1,350.00</td></tr>
</table></td></tr>
<tr><td>3</td><td>Divide total monthly energy costs by total gross monthly household income.
$101.51 divided by $1,350 = .075</td></tr>
<tr><td>4</td><td>The calculated energy burden is 7.5%</td></tr>
</table>

Section IV: Appeals

Subsection 1: Appeals Process

Introduction

In accordance with State Regulations any person who has applied for benefits and/or services under a grant award from a contractor or a subcontractor whose application has been denied or not acted upon within 15 working days has the right to first appeal to the local service provider and if not satisfied, subsequently appeal to CSD. Each agency must have a written appeals process.

When service to a client is refused it is essential to establish if the application is ineligible or denied. Applications that are ineligible are not considered appealable and therefore, do not have to be advised of their appeal rights (22 CCR § 100805). However, applications that are considered "denied" are appealable and the client must be informed of their appeal rights.

State Regulations

22 CCR § 100805 define the following situations as appealable:

- The application was not acted upon within 15 working days
- Unsatisfactory performance
- Application was denied

Definition of a Denial

A denial means that <u>all</u> of the following criteria have been met:

- Services and funds are available
- The agency has authority to disburse services or funds
- The client meets or believes he/she meets eligibility criteria and
- The client meets the conditions of the priority plan or would meet conditions of the priority plan if able to establish other facts relevant to eligibility (i.e., income calculation/verification, disabled family member, frail elderly, etc.)

Appealable Applications

Other appealable situations include, but are not limited to:

- Client disputing agency's income eligibility calculation
- Missing or insufficient information

Notification Requirements

If an application has been <u>denied,</u> the client must be advised in writing of the reason for denial and their appeal rights and procedures.

The agency also must:

- Give the client a reasonable time frame to respond
- Require the client to submit any additional information that will prove their eligibility

Definition

An application that is rejected for the following reasons is considered ineligible not denied and therefore, not appealable:

- Agency is out of funds
- No facts concerning client's eligibility/income calculation are in dispute
- Household does not meet the agency priority plan (and no disputed facts concerning client's eligibility could impact priority plan determination)

Example 1

The Jones family has monthly income of $3,500 for a household of three. Ms. Jones has paystubs verifying the household income. She agrees that the paystubs and household composition information she provided is accurate. The agency informs her that her application in ineligible because the household is over income. There are no issues in dispute that can be appealed.

Example 2

Alice Smith lives with her 4-year-old son and receives unemployment benefits totaling $2,200 per month. She is 30 years old, healthy, and neither she nor her son have a disability. The agency informs her that while she meets the income guidelines, her application does not meet the agency's priority plan criteria and is ineligible (see suggested letter, below). However, if Ms. Smith asserted other facts that could impact the priority plan determination and the agency rejected her application based on insufficient documentation of key facts, Ms. Smith would be entitled to request an agency review and/or subsequent CSD appeal.

Notification

The client must still be notified in writing of the reason for the refusal of service, but it is not necessary to advise them of their appeal rights.

Suggested Letter

Dear Applicant:

Your HEAP application requesting assistance with your energy costs has been received. While your household meets the income eligibility requirements, your household did not meet our agency's priority plan and is not qualified to receive assistance at this time.

The State of California requires Local Service Providers (agencies) to

establish a priority plan due to the overwhelming demand and the limited funding resources available for assistance. The priority plan provides a method for serving those with the greatest need. However, if your circumstances change, please feel free to reapply.

Section IV: Appeals

Subsection 3: Fraud

Introduction

Agency and/or CSD staff who have good reason, supported by documentary evidence or firsthand knowledge, to suspect that a client, utility company employee, or another agency or CSD employee is knowingly, by means of misrepresentation, obtaining, attempting to obtain, or assisting someone else to obtain benefits for which the applicant is ineligible, should report suck concerns to an appropriate supervisor.

Definition

Fraud is a crime involving a material representation relating to a past or an existing fact which is: false; made with knowledge of its falsity; or in reckless disregard of the truth made in order to obtain a benefit or something of value.

Factors

- Fraud may consist of withholding information which would affect eligibility for assistance or the amount thereof.
- Fraud may also include giving false information in order to obtain or use benefits from the energy assistance program.

Issues to Consider

1. Weather the incorrect or unreported information effected eligibility;
2. Weather the correct information was, in fact, known to the client.:
3. Weather the client fully understood the eligibility requirements and their responsibility for reporting information; and
4. Weather material facts were deliberately/intentionally altered or withheld

Addressing Incidents of Potential Fraud

Only authorized law enforcement personnel can officially determine that a crime has been committed or attempted. However, agencies can evaluate the information provided by applicants and request additional information when reasonably necessary to verify income and their eligibility factors. The agency may deny services if the information appears to be insufficient or contradictory, and give the client an opportunity to appeal. If agency staff can document or directly attest to an incident of suspected fraud in which benefits/services were actually provided to an ineligible household, a police reports should be filed at the agency's discretion, and a copy of the report maintained with supporting documents in the client's file.

Whistleblower Reports

Concerns regarding improper activities of an agency employee that may impact the integrity of CSD-funded services or the agency's ability to comply with its contractual obligations should be reported to an appropriate supervisor, or may be directed to the agency's CSD field representative as a 'whistleblower report.' Whistleblower reports may also be submitted to CSD at webinfo@csd.ca.gov

PY 2015 Income Guidelines

HH	LIHEAP Monthly Income 60% SMI	DOE Monthly Income 200% Federal Poverty *Effective 7/1/15*
1	$1,996.89	$1,961.67
2	$2,611.31	$2,655.00
3	$3,225.74	$3,348.33
4	$3,840.17	$4,041.67
5	$4,454.59	$4,735.00
6	$5,069.02	$5,428.33
7	$5,184.23	$6,121.67
8	$5,299.43	$6,815.00
9	$5,414.64	$7,508.33
10	$5,529.84	$8,201.67
11	$5,645.05	$8,895.00
12	$5,760.25	$9,588.33
13	$5,875.46	$10,281.67
14	$5,990.66	$10,975.00
15	$6,105.87	$11,668.33
16	$6,221.07	$12,361.67
17	$6,336.28	$13,055.00
18	$6,451.48	$13,748.33
19	$6,566.69	$14,441.67
20	$6,681.89	$15,135.00
21	$6,797.10	$15,828.33
22	$6,912.30	$16,521.67
23	$7,027.51	$17,215.00
24	$7,142.71	$17,908.33
25	$7,257.92	$18,601.67

CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

Priority List Policy

CALIFORNIA DEPARTMENT OF

COMMUNITY SERVICES AND DEVELOPMENT

PO Box 1947

Sacramento, CA 95812-1947

916-576-7109

Rev. 12/19/2012

PREPARED BY: RHA program design+management

CSD PRIORITY LIST POLICY

I. OVERVIEW

The California Department of Community Services and Development (CSD) adopts the following **"CSD Priority List Policy"** for inclusion in the Federal Department of Energy (DOE) Weatherization Assistance Program (WAP). Priority List Policy (List) measures historically have been a small subset of the entire weatherization measure matrix, and these measures were analyzed and proven through the energy audit process to have a Savings-to-Investment Ratio (SIR) of 1.0 or greater. During review of audit data provided by network agencies for 60 sample units, the following measure list was developed based on results of the REM/Design energy audits. Tables are provided for each climate zone, and show those measures that have a proven SIR of 1.0 or greater. List measures that indicate a SIR of 1.0 or greater do not require an energy audit to be conducted before installation per DOE policy.

Priority List measures include:

- Insulation
  - Ceiling (R-30/38)
  - Wall (R-11)
  - Floor (R-19)
- Programmable Thermostats

The List is split into four component lists to address measures with different housing types:

- Pre-1950 Single-family (up to four units)
- Post-1950 Single-family (up to four units)
- Multi-family Dwellings
- Mobile Homes

Further, because of the variability in results for residences with air conditioning present and those without, the majority of analyses were run with air conditioning (w/ AC) and without (w/o AC). This variability made it necessary to create an additional sub-category for the classification in housing type in order to determine the SIR in each of the California Energy Commission-defined climate zones in California.

II. PRIORITY LIST ANALYSIS

In order to develop this List, it was necessary to evaluate previous List (1998-2010) measures with the REM/Design energy audit tool. The length of this revised List appears to be significantly shorter than its predecessor due to three key factors:

(1) Important reclassification of Cooling Repair and Replacement and Duct Insulation for California's weatherization program;

(2) Grouping of certain measures that were previously separate items (described below); and

(3) Reclassification of window replacement for energy efficiency as based solely on a building specific energy audit.

ATTIC VENTILATION/CEILING INSULATION

For the purposes of the current Priority List, attic ventilation is combined with ceiling insulation as one measure. While attic ventilation has little or no demonstrable energy benefit, due to code and installation standards attic venting is required when insulation is added. The full cost of venting is included in the analysis of ceiling insulation. Attics are assumed to need venting if there was no existing insulation. Supplemental venting may be needed when some insulation is present.

FLOOR FOUNDATION VENTING/FLOOR INSULATION

For this Priority List, floor foundation ventilation is combined with the floor insulation as one measure. Venting a raised floor foundation is required by building code, but has little or no energy benefit. Due to code and installation standards, floor venting is required when insulation is added.

KNEEWALL INSULATION:

Kneewall insulation was factored at the same R-value as wall insulation. Although CSD's measure matrix identifies kneewall insulation as a separate measure, for the purposes of this analysis, it is treated as wall insulation. Where wall insulation is feasible due to SIR value, kneewall shall be considered also.

WALL INSULATION

Wall insulation was factored by taking into consideration two types of wall insulation: fiberglass and cellulose. Given the basic installation differences in the REM/Design energy audit modeled homes used to create this List, the maximum R-value for fiberglass was set at R-11 while cellulose is set at R-13.

WINDOW REPLACEMENTS FOR ENERGY EFFICIENCY

Pursuant to CSD Broadcast Bulletin B 11-01, window replacement for energy efficiency has been removed from this List, and instead is reclassified as an Audit-Driven Measure.

EVAPORATIVE COOLER REPAIR AND/OR REPLACEMENT OR INSTALLATION

Evaporative cooler repair or replacement is eliminated as a Priority List measure because evaporative cooler installation in a home with no cooling cannot be demonstrated to "save energy," and in most cases, will result in the consumption of additional energy. Cooling repair and replacements (including evaporative coolers) have been reclassified as health and safety measures.

DUCT INSULATION

Duct insulation previously was included as a priority measure; however, because the amount and type of duct insulation needed is highly variable, it is impossible to calculate a reasonable energy savings estimate. In addition, duct insulation shall be considered an integral part of the entire duct system measure that includes pressure diagnostics, repair, and duct sealing. Under health and safety rules, state energy codes require specific levels of duct insulation and duct repair when replacing any component of a forced air system. For this reason, duct insulation has been reclassified as a mandatory measure for rigid ducts where no existing insulation is present, and requires addition of R-8 insulation.

STORM WINDOWS/STORM DOORS/THERMAL SHUTTERS/WINDOW FILM

Cost and life span information vary widely for these products and it was found that the variance made calculation of the SIR values difficult for inclusion in the List. Thus, these measures have been removed from this List, and instead they are reclassified as Audit-Driven Measures.

MOBILE HOME MEASURES

Measures are slightly different for mobile homes than conventional framed (stick-built) homes. It is assumed that most mobile homes have minimum amounts of insulation in the walls and ceiling, and are manufactured with belly/floor insulation.

Ceiling insulation calculations were based on having an existing insulation level of R-11 and adding R-19 blown insulation into space between the ceiling and roof. The costs were estimated to be much higher than standard ceiling insulation due to the amount of labor involved, special installation techniques, repairing the roof by adding a waterproof membrane, or sealing and patching the roof. This measure did not meet the SIR needed to become a Priority List measure. This measure will require that an energy audit be conducted, using accurate cost estimates for the job to determine the SIR value.

In many cases the belly insulation may be missing or badly damaged and needs to be replaced. This will require an energy audit with actual costs to determine the SIR value.

MULTI-FAMILY MEASURES

CSD's Energy Policy & Procedures EP 11-07A Weatherizing Multi-family Buildings – Whole-Building and Individual-Unit Approaches defines the criteria for multi-family weatherization approaches and clearly defines CSD's position with regard to DOE WAP weatherization of multi-family buildings. The document may be found on CSD's website at www.csd.ca.gov.

Due to the difficulty and cost associated with accurately assessing energy savings opportunities in multi-family buildings using a computer-generated energy audit approach, individual units are to be treated under the Priority List / prescriptive approach only. This prescriptive list of measures includes all feasible diagnostics, health and safety measures, feasible mandatory energy measures and any additional measures that may be approved under the Priority List. *Note:* These limitations are summarized below in Table 1.

With this approach, priority measures designed to be installed in the entire building are not eligible for individual units. These include ceiling and wall insulation, windows and any other "building envelope" measures. Individual unit air sealing measures are allowed, in accordance with existing protocols and standards. For additional information on this policy, please refer to the Energy Policy & Procedures 11-07A described above.

Table 1: Measures to be installed in Whole Buildings and Single Units

APPROVED MULTI-FAMILY DWELLING MEASURES	
Whole Building Weatherization	**Single Unit Weatherization**
• Ceiling Insulation • Wall Insulation • Floor Insulation • Programmable Thermostat • Mandatory Weatherization Measures	• Programmable Thermostat • Mandatory Weatherization Measures

III. AUDIT-DRIVEN MEASURES

In addition to the List measures described above, California has identified measures that require SIR calculation before installation may be performed. These measures are classified as Audit-Driven Measures, are for *energy efficient purposes*, and include:

- HVAC Change-out (Heating or Cooling)
- Low-E Windows
- Storm Windows
- Storm Doors
- Thermal Shutters
- Tinted Window Film
- DOE Appendix A Measures: Solar Water Heating Systems
  (*Note: TREAT—Audit-Driven Measures: Heat Exchangers, Boiler/Furnace Control Systems, Boilers, Chillers, and Solar Water Heating Systems)

IV. OTHER SIR-DRIVEN MEASURES

One additional measure requires that SIR must be documented before replacement is allowed:

- Replacement Refrigerators

Per the May 1, 2011 update to the CSD Weatherization Installation Standards (WIS) manual, refrigerators shall require documentation of a SIR of 1.0 or greater in accordance with the guidelines defined in the WIS. The excerpted replacement criteria provided below is intended to be informational only; additional requirements apply as described in the WIS.

Excerpt from Refrigerator Replacement General Guidelines:

a. For all refrigerator replacements, existing refrigerator energy consumption/cost must have a savings-to-investment ratio (SIR) of 1.0 or higher.

b. For units manufactured in 1992 or earlier, verify deemed cost effectiveness using the online energy use database described at www.WAPTAC.org.

c. For units manufactured in 1993 or later, verify cost effectiveness using the online assessment tool: http://www.energytools.com/calc/RefrigEcon.xls. Any utility rate information shall be entered at the correct utility "Blended Rate" cited in CSD's Energy Policy & Procedures (EP 11-05) document. This document is available at www.csd.ca.gov.

d. At minimum, 10% of refrigerators considered for replacement shall be metered.

e. Malfunctioning refrigerators shall be replaced for the following reasons:
   - The refrigerator is inoperable.
   - Defects that compromise operating efficiency—such as damaged door gaskets, minimum achievable inside temperature too warm, excessive run time, ice buildup, etc.—cannot feasibly be repaired (repair cost exceeds 50% of replacement cost, including disposal fees).
   - The appliance is unable to maintain safe food storage temperature.

V. INTERPRETING THE CLIMATE ZONE LIST TABLES

Each climate zone established by the California Energy Commission (CEC) is represented in a separate table. Each List measure is described separately, with special notations made when it pertains to only one housing type
(Example: MH = mobile home only; MFD = Multi-family dwelling only, etc.) The measures are circled in blue in the graphic below. If one of the priority measures does not pertain to a housing type, a dash (" – ") is inserted in the appropriate box as indicated by the arrow below.

When study has proven a SIR value of 1.0 or greater, the SIR value is provided in the shaded boxes below, as in the red circled value "5.8". If a value is 1.0 or greater, agencies need only apply the List and an energy audit is not required.

If a value below is *italicized*, this indicates that the calculated SIR value is less than 1.0 for that climate zone. If the home meets the energy audit policy requirements, an audit should be performed using the current energy audit protocol to confirm appropriateness of measure installation.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

If data was not available during the compilation of the tables, the table shows a "(A)" symbol, as in the green circled value below. This symbol means that an energy audit is required to prove the SIR value of the measure prior to installation.

For ease of reference, a key for these items is provided at the foot of each climate zone table. For assistance in interpreting these List tables, please call the Technical Assistance Hotline at (877) 831-7596.

CZ-01	Pre-1950 SFU		Post-1950 SFU		Multi-Family		Mobile Home	
	SIR		SIR		SIR		SIR	
PRIORITY LIST MEASURES	w AC	w/o AC	w AC	w/o AC	w AC	w/o AC	w AC	w/o AC
Ceiling Insulation (When R-0, add R-38)	(A)	5.8	(A)	2.4	(A)	6.4	-	-
Ceiling Insulation (When R-1 to R-11, add R-30)	(A)	1.6	(A)	*0.8*	(A)	1.7	-	-
Ceiling Insulation (When R-12 to R-19; add R-19)	(A)	2.3	(A)	*0.6*	(A)	1.8	-	-
MH Ceiling Insulation (When up to R-11; increase to R-30)	-	-	-	-	-	-	(A)	*0.4*
Wall Insulation (R-11 to R-13, based on type)	(A)	6.1	(A)	3.4	(A)	(A)	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	(A)	7.4	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	4.8	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	8.1	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	6.3	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	7.4	-	-
Floor Insulation (R-19)	(A)	4.2	(A)	1.0	(A)	(A)	(A)	(A)
Programmable Thermostat	(A)	7.9	(A)	4.2	(A)	*0.5*	(A)	2.7

Sample

1. CLIMATE ZONE - 1 PRIORITY LIST

Climate Zone - 1 Priority List

The energy analysis for the List for Climate Zone - 1 did not include an analysis of measures on residences with air conditioning, as the need for it is negligible or non-existent in this coastal climate zone. When a home is found with an AC unit (window, wall, or central), an energy audit is required to determine measure feasibility. Measures in the List table with a SIR value of less than 1.0 are subject to the CSD Audit Policy.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

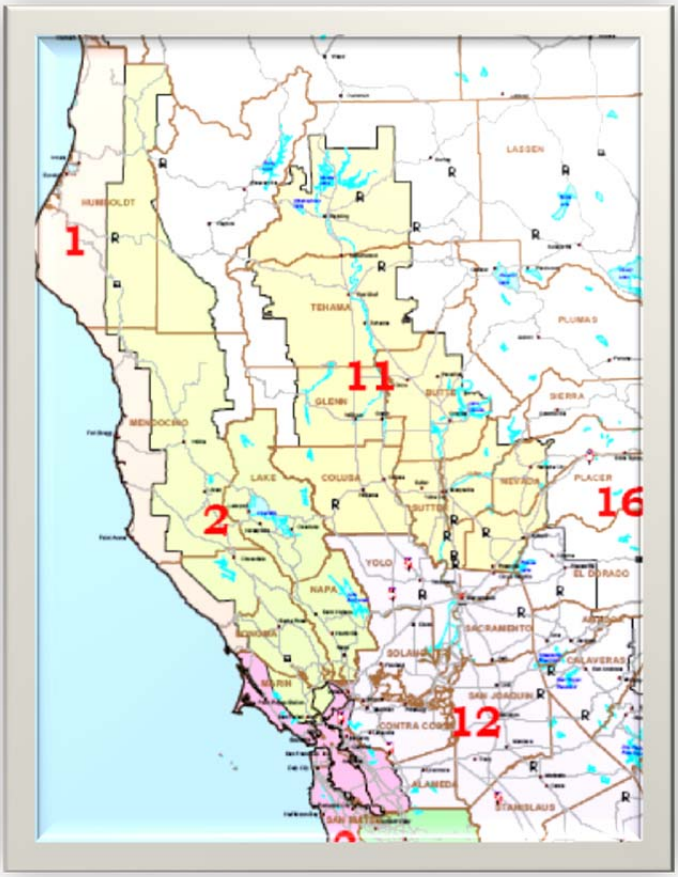
CZ-01	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, add R-38)	(A)	5.8	(A)	2.4	(A)	6.4	-	-
Ceiling Insulation (When R-1 to R-11, add R-30)	(A)	1.6	(A)	*0.8*	(A)	1.7	-	-
Ceiling Insulation (When R-12 to R-19; add R-19)	(A)	2.3	(A)	*0.6*	(A)	1.8	-	-
MH Ceiling Insulation (When up to R-11; increase to R-30)	-	-	-	-	-	-	(A)	*0.4*
Wall Insulation (R-11 to R-13, based on type)	(A)	6.1	(A)	3.4	(A)	(A)	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	(A)	7.4	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	4.8	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	8.1	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	6.3	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	7.4	-	-
Floor Insulation (R-19)	(A)	4.2	(A)	1.0	(A)	(A)	(A)	(A)
Programmable Thermostat	(A)	7.9	(A)	4.2	(A)	*0.5*	(A)	2.7

Key/Notes:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

2. CLIMATE ZONE - 2 PRIORITY LIST

Climate Zone 2 encompasses a long territory in northern California (see map below) and is bordered by 5 different climate zones: 1, 3, 11, 12, and 16. Research within the REM/Design audit software showed that no climate information was available for any of the cities in the zone. Due to the variations in topography, Climate Zone 2 shares the climatic conditions of many of its neighboring zones. The priority tables for Climate Zone 2 may not be based on the climate zone that they abut, but rather by the climatic similarity to a known zone/weather station.



For that reason, the seven counties represented in Climate Zone 2 have been broken out as follows:

• Humboldt County, Mendocino County, Trinity County, and Lake County: use Climate Zone 11.

• Sonoma County and Napa County: use Climate Zone 12.

• Marin County: use Climate Zone 3.

The energy analysis for the Priority List for Climate Zone 2 did not include an analysis of measures on residences with air conditioning, as the need for it is negligible or non-existent in this coastal climate region. When a home is found with an air conditioning unit (window, wall, or central), an energy audit shall be required to determine measure feasibility.

Measures in the List table with a SIR value of less than 1.0 are subject to the CSD Audit Policy.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

Climate Zone 2 – Pre-1950 Single-Family	Climate Zone 11		Climate Zone 12		Climate Zone 3	
COUNTIES:	Humboldt, Trinity, Mendocino, Lake		Sonoma, Napa		Marin	
Climate Zone 2 - Pre-1950 Single-Family	SIR		SIR		SIR	
PRIORITY LIST MEASURES	**w AC**	**w/out AC**	**w AC**	**w/out AC**	**w AC**	**w/out AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	8.5	3.7	7.6	4.7	(A)	2.8
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	2.0	*0.9*	1.6	1.0	(A)	*0.7*
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.8	*0.8*	1.7	1.1	(A)	*0.6*
Wall Insulation (R-11 to R-13, based on type)	6.4	3.7	4.2	3.3	(A)	2.6
Floor Insulation (R-19)	1.3	1.1	(A)	(A)	(A)	2.9
Programmable Thermostat	3.3	3.3	10.1	3.7	(A)	*0.8*

Climate Zone 2 - Post-1950 Single-Family	Climate Zone 11		Climate Zone 12		Climate Zone 3	
COUNTIES:	Humboldt, Trinity, Mendocino, Lake		Sonoma, Napa		Marin	
PRIORITY LIST MEASURES	**w AC**	**w/out AC**	**w AC**	**w/out AC**	**w AC**	**w/out AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	7.7	3.2	6.7	5.0	(A)	3.4
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.8	*0.9*	1.6	1.2	(A)	1.0
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.7	*0.8*	1.4	1.1	(A)	1.0
Wall Insulation (R-11 to R-13, based on type)	4.5	2.7	5.7	5.0	(A)	3.6
Floor Insulation (R-19)	*0.8*	*0.8*	(A)	(A)	(A)	4.3
Programmable Thermostat	3.3	1.3	2.5	1.6	(A)	4.7

Climate Zone 2 – Multi-Family	Climate Zone 11		Climate Zone 12		Climate Zone 3	
COUNTIES:	Humboldt, Trinity, Mendocino, Lake		Sonoma, Napa		Marin	
PRIORITY LIST MEASURES	**w AC**	**w/out AC**	**w AC**	**w/out AC**	**w AC**	**w/out AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	6.8	2.6	5.1	3.3	(A)	2.8
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.8	*0.6*	1.7	1.1	(A)	*0.7*
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.5	*0.5*	5.7	1.3	(A)	1.0
MFD Wall Insulation (R-11) 2-walls exterior	4.8	3	1.4	3.8	(A)	3.2
MFD Wall Insulation (R-11) North-facing exterior	5.2	3.3	1.4	3.9	(A)	3.4
MFD Wall Insulation (R-11) South-facing exterior	4.4	2.8	1.3	3.7	(A)	2.5
MFD Wall Insulation (R-11) East-facing exterior	(A)	(A)	(A)	(A)	(A)	3.2
MFD Wall Insulation (R-11) West-facing exterior	(A)	(A)	(A)	(A)	(A)	3.8
Floor Insulation (R-19)	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	*0.3*	*0.3*	*0.6*	*0.4*	(A)	*0.3*

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

Climate Zone 2 - Mobile Home	Climate Zone 11		Climate Zone 12		Climate Zone 3	
COUNTIES:	**Humboldt, Trinity, Mendocino, Lake**		**Sonoma, Napa**		**Marin**	
PRIORITY LIST MEASURES	**w AC**	**w/out AC**	**w AC**	**w/out AC**	**w AC**	**w/out AC**
MH Ceiling Insulation (When up to R-11, increase to R-30)	7.4	*0.7*	1.1	*0.7*	(A)	*0.5*
Floor Insulation (R-19)	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	3.4	1.9	1.0	1.1	(A)	1.2

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

3. CLIMATE ZONE - 3 PRIORITY LIST

The energy analysis for the List for Climate Zone - 3 did not include an analysis of measures on residences with air conditioning, as the need for it is negligible or non-existent in this coastal climate zone. When a home is found with an AC unit (window, wall, or central), an energy audit is required to determine measure feasibility. Measures in the List table with a SIR value of less than 1.0 are subject to the CSD Audit Policy.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-03	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	(A)	2.8	(A)	3.4	(A)	2.8	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	(A)	*0.7*	(A)	1.0	(A)	*0.7*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	(A)	*0.6*	(A)	1.0	(A)	1.0	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	(A)	*0.5*
Wall Insulation (R-11 to R-13, based on type)	(A)	2.6	(A)	3.6	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	(A)	3.2	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	3.4	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	2.5	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	3.2	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	3.8	-	-
Floor Insulation (R-19)	(A)	2.9	(A)	4.3	(A)	(A)	(A)	(A)
Programmable Thermostat	(A)	*0.8*	(A)	4.7	(A)	*0.3*	(A)	1.2

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

4. CLIMATE ZONE - 4 PRIORITY LIST

The energy analysis for the List for Climate Zone 4 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-04	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	4.7	3.2	4.8	3.2	4.3	2.9	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.2	*0.8*	1.2	*0.8*	1.1	*0.8*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.2	*0.7*	1.0	*0.7*	0.9	*0.6*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.7*	*0.5*
Wall Insulation (R-11 to R-13, based on type)	4.2	3.6	4.6	3.1	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	4.1	3.5	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	3.6	3.1	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	4.4	3.8	-	-
Floor Insulation (R-19)	*0.8*	1.1	(A)	*0.8*	(A)	(A)	(A)	(A)
Programmable Thermostat	3.6	*0.3*	*0.6*	*0.4*	*0.8*	*0.2*	3.1	1.6

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

5. CLIMATE ZONE - 5 PRIORITY LIST

The energy analysis for the List for Climate Zone 5 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-05	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	3.1	2.3	3.2	2.5	3.7	2.9	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	*0.7*	*0.6*	*0.8*	*0.6*	1.0	*0.7*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	*0.7*	*0.6*	*0.7*	*0.5*	*0.8*	*0.6*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.7*	*0.4*
Wall Insulation (R-11 to R-13, based on type)	2.9	2.8	4.2	4.2	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	3.8	2.5	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	3.8	3.7	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	5.1	5.0	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	3.5	3.4	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	*0.4*	*0.6*	*0.6*	*0.8*	(A)	(A)	(A)	(A)
Programmable Thermostat	1.4	1.0	*0.4*	*0.3*	*0.3*	*0.1*	1.5	1.5

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

6. CLIMATE ZONE - 6 PRIORITY LIST

The energy analysis for the List for Climate Zone 6 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-06	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	2.0	1.2	2.4	1.5	1.8	1.1	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	*0.4*	*0.3*	*0.5*	*0.3*	*0.6*	*0.5*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	*0.4*	*0.3*	*0.5*	*0.3*	*0.5*	*0.3*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	-	*0.2*
Wall Insulation (R-11 to R-13, based on type)	2.9	2.7	2.7	2.7	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	2.2	2.1	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	2.1	2.0	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	2.3	2.1	-	-
Floor Insulation (R-19)	*0.7*	*0.8*	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	1.4	*0.9*	1.5	*0.4*	(A)	(A)	(A)	1.4

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

7. CLIMATE ZONE - 7 PRIORITY LIST

The energy analysis for the List for Climate Zone 7 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-07	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	4.8	3.4	2.1	1.5	2.8	1.6	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.1	*0.8*	*0.4*	*0.3*	*0.7*	*0.4*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.1	3.9	*0.4*	*0.3*	*0.6*	*0.3*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.3*	*0.2*
Wall Insulation (R-11 to R-13, based on type)	3.8	3.8	2.4	2.3	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	2.4	2.1	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	2.4	2.1	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	2.2	1.9	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	2.5	2.2	-	-
Floor Insulation (R-19)	(A)	(A)	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	5.2	1.7	4.5	2.4	*0.3*	(A)	(A)	(A)

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

8. CLIMATE ZONE - 8 PRIORITY LIST

The energy analysis for the List for Climate Zone 8 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-08	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	2.8	1.4	2.5	2.1	2.5	1.5	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	*0.6*	*0.3*	*0.7*	*0.5*	*0.6*	*0.4*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	*0.6*	*0.4*	*0.7*	*0.5*	*0.5*	*0.3*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.5*	*0.3*
Wall Insulation (R-11 to R-13, based on type)	2.3	2.1	3.0	2.9	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	2.6	2.4	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	3.2	2.9	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	2.0	1.9	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	2.6	2.3	-	-
Floor Insulation (R-19)	*0.3*	*0.5*	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	4.5	2.2	4.9	3.1	*0.2*	(A)	2.2	*0.3*

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

9. CLIMATE ZONE - 9 PRIORITY LIST

The energy analysis for the List for Climate Zone 9 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-09	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	1.8	1.2	1.9	1.2	2.2	1.2	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	*0.5*	*0.3*	*0.5*	*0.3*	*0.5*	*0.3*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	*0.7*	*0.4*	*0.6*	*0.4*	*0.6*	*0.4*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.2*	*0.2*
Wall Insulation (R-11 to R-13, based on type)	3.1	3.0	2.8	2.6	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	2.7	2.2	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	3.8	3.2	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	3.8	3.2	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	3.1	2.6	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	2.4	2.0	-	-
Floor Insulation (R-19)	*0.7*	*0.7*	*0.6*	*0.8*	(A)	(A)	(A)	(A)
Programmable Thermostat	*0.2*	(A)	1.9	1.2	*0.2*	*0.3*	2.1	2.1

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

10. CLIMATE ZONE - 10 PRIORITY LIST

The energy analysis for the List for Climate Zone 10 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-10	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	5.5	3.0	4.9	2.5	4.2	2.1	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.3	*0.7*	1.2	*0.6*	1.3	*0.6*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.3	*0.7*	1.1	*0.5*	1.1	*0.5*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.4*	*0.4*
Wall Insulation (R-11 to R-13, based on type)	4.7	3.7	4.6	3.6	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	3.1	2.2	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	1.5	1.1	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	3.9	2.8	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	1.6	1.8	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	6.9	4.0	*0.2*	*0.1*	(A)	(A)	1.3	1.3

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

11. CLIMATE ZONE - 11 PRIORITY LIST

The energy analysis for the List for Climate Zone 11 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-11	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	8.5	3.7	7.7	3.2	6.8	2.6	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	2.0	*0.9*	1.8	*0.9*	1.8	*0.6*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.8	*0.8*	1.7	*0.8*	1.5	*0.5*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	7.4	*0.7*
Wall Insulation (R-11 to R-13, based on type)	6.4	3.7	4.5	2.7	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	4.8	3.0	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	5.2	3.3	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	4.4	2.8	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	1.3	1.1	*0.8*	*0.8*	(A)	(A)	(A)	(A)
Programmable Thermostat	3.3	3.3	3.3	1.3	*0.3*	*0.3*	3.4	1.9

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

12. CLIMATE ZONE - 12 PRIORITY LIST

The energy analysis for the List for Climate Zone 12 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-12	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	7.6	4.7	6.7	5.0	5.1	3.3	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	1.6	1.0	1.6	1.2	1.7	1.1	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	1.7	1.1	1.4	1.1	5.7	1.3	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	1.1	*0.7*
Wall Insulation (R-11 to R-13, based on type)	4.2	3.3	5.7	5.0	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	1.4	3.8	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	1.4	3.9	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	1.3	3.7	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	(A)	(A)	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	10.1	3.7	2.5	1.6	*0.6*	*0.4*	1.0	1.1

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

13. CLIMATE ZONE - 13 PRIORITY LIST

The energy analysis for the List for Climate Zone 13 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-13	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	10.3	5.6	6.2	9.2	7.4	3.8	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	2.5	1.4	1.2	2.0	1.7	1.1	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	2.2	1.2	1.3	2.1	1.6	1.2	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.2*	*0.7*
Wall Insulation (R-11 to R-13, based on type)	8.7	6.2	5.3	9.3	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	5.4	3.6	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	5.4	3.6	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	7.1	4.8	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	5.1	3.4	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	2.5	2.3	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	5.0	2.6	10.2	18.3	*0.7*	*0.2*	3.0	3.0

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

14. CLIMATE ZONE - 14 PRIORITY LIST

The energy analysis for the List for Climate Zone 13 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-14	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	9.8	5.0	7.6	4.4	6.8	3.1	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	2.0	1.0	1.8	1.1	1.9	*0.8*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	2.3	1.0	2.0	4.9	1.5	*0.7*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	1.5	1.1
Wall Insulation (R-11 to R-13, based on type)	5.4	3.8	6.1	4.6	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	5.0	3.3	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	5.8	3.8	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	4.2	2.7	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	(A)	(A)	-	-
Floor Insulation (R-19)	(A)	(A)	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	6.0	2.3	2.9	1.5	*0.5*	*0.2*	4.4	4.4

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

15. CLIMATE ZONE - 15 PRIORITY LIST

The energy analysis for the List for Climate Zone 15 included analysis of measures on residences with and without air conditioning. Because this climate zone is cooling dominated with very few heating degree days, there is little cost savings from heating only units, even though measures would improve comfort.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-15	**Pre-1950 SFU**		**Post-1950 SFU**		**Multi-Family**		**Mobile Home**	
	SIR		**SIR**		**SIR**		**SIR**	
PRIORITY LIST MEASURES	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**	**w AC**	**w/o AC**
Ceiling Insulation (When R-0, increase to min. R-30; Max. R-38)	11.6	2.1	2.9	*0.3*	5.0	1.0	-	-
Ceiling Insulation (When R-1 to R-11, increase to min. R-30; Max. R-38)	2.2	*0.5*	*0.6*	*0.1*	1.4	*0.2*	-	-
Ceiling Insulation (When R-12 to R-19, increase to min. R-30; Max. R-38)	2.2	*0.5*	*0.6*	*0.1*	1.3	*0.2*	-	-
MH Ceiling Insulation (When up to R-11, increase to R-30)	-	-	-	-	-	-	*0.9*	*0.1*
Wall Insulation (R-11 to R-13, based on type)	9.4	5.0	3.6	3.5	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	4.3	1.5	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	4.3	1.5	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	3.4	1.2	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	5.3	1.8	-	-
Floor Insulation (R-19)	2.8	2.1	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	5.5	3.0	2.0	*0.5*	*0.7*	*0.1*	4.4	*0.7*

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

16. CLIMATE ZONE - 16 PRIORITY LIST

The energy analysis for the List for Climate Zone 16 included analysis of measures on residences with and without air conditioning.

Measures with a SIR greater than 1.0 are on the List. Measures with a SIR less than 1.0 will require an energy audit and a SIR result greater than 1.0 to install.

Each zone's table shows what can be installed without performing an energy audit to determine feasibility. All insulation measures in this List shall be installed pursuant to applicable WIS instructions for the respective type (ceiling, wall, or floor).

Measures shall be ranked from highest SIR value to lowest, and installed in that order.

CZ-16	Pre-1950 SFU		Post-1950 SFU		Multi-Family		Mobile Home	
	SIR		SIR		SIR		SIR	
PRIORITY LIST MEASURES	w AC	w/o AC	w AC	w/o AC	w AC	w/o AC	w AC	w/o AC
Ceiling Insulation (When R-0, add R-38)	24.7	24.6	14.8	14.7	21.3	21.1	-	-
Ceiling Insulation (When R-1 to R-11, add R-30)	6.2	6.2	3.3	3.3	6.2	6.2	-	-
Ceiling Insulation (When R-12 to R-19; add R-19)	5.5	5.5	3.3	3.3	4.6	4.6	-	-
MH Ceiling Insulation (When up to R-11; increase to R-30)	-	-	-	-	-	-	2.0	4.8
Wall Insulation (R-11 to R-13, based on type)	21.5	22.0	11.7	12.1	-	-	(A)	(A)
MFD Wall Insulation (R-11) 2-walls exterior	-	-	-	-	18.0	18.4	-	-
MFD Wall Insulation (R-11) North-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) South-facing exterior	-	-	-	-	(A)	(A)	-	-
MFD Wall Insulation (R-11) East-facing exterior	-	-	-	-	19.0	19.3	-	-
MFD Wall Insulation (R-11) West-facing exterior	-	-	-	-	17.0	17.4	-	-
Floor Insulation (R-19)	8.3	5.4	(A)	(A)	(A)	(A)	(A)	(A)
Programmable Thermostat	3.2	3.2	6.9	6.9	2.4	2.4	1.7	1.7

Key:

- (A) = Energy Audit required to determine feasibility for specific home.
- Measures with value (SIR) less than *1.0 (shown in italics)* may be Energy Audited to determine feasibility for specific home.
- Wall Insulation (R-11) is specified for fiberglass insulation; Wall insulation (R-13) is specified for cellulose insulation.
- Empty (dashed) area indicates, in most instances, that measure is not applicable to the housing type. Energy audit may be used to determine feasibility for specific home if conditions warrant.

CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

DOE WEATHERIZATION ASSISTANCE PROGRAM

SINGLE-FAMILY / SMALL MULTI-FAMILY ENERGY AUDIT PROTOCOL

CALIFORNIA DEPARTMENT OF
COMMUNITY SERVICES AND DEVELOPMENT
PO BOX 1947
SACRAMENTO, CA 95812-1947
916-576-7109

FEBRUARY 15, 2012

PREPARED BY: RHA program design+management

Table of Contents

1. SINGLE-FAMILY / SMALL MULTI-FAMILY ENERGY AUDIT PROTOCOL OVERVIEW 3

2. AUDIT POLICY OVERVIEW 4

2.1. PRIORITY LIST METHOD (PRESCRIPTIVE APPROACH) 4
2.2. ENERGY AUDIT METHOD (PERFORMANCE APPROACH) 4

3. ON-SITE PROCESS 5

3.1. AUDITOR CONDUCTS STANDARDS AND MINIMUM CREDENTIALS 5
3.2. SITE VISIT 5

4. ENERGY MODELING AND ANALYSIS PROCESS 7

4.1. UTILITY RATES 7
4.2. SINGLE-FAMILY (2-4 UNIT) AND SMALL MULTI-FAMILY MODELING CONSIDERATIONS 7
4.3. DEFAULT VALUES USED IN ANALYSIS 8
4.4. EXCEPTIONAL CALCULATIONS 10
4.5. SAVINGS INVESTMENT RATIO (SIR) CALCULATIONS 11

5. ENERGY AUDIT SUBMITTAL AND QUALITY ASSURANCE REVIEWS 11

5.1. SINGLE-FAMILY DWELLING (SINGLE UNIT) SUBMITTAL 11
5.2. SINGLE-FAMILY DWELLING (2-4 UNITS) AND SMALL MULTI-FAMILY DWELLING SUBMITTAL 12
5.3. TECHNICAL REVIEW 13
5.4. INSTALLATION OF MEASURES 13

Appendix A: CSD Audit Policy 14
Appendix B: DOE Approved Measures (10CFR440, Appendix A) 17
Appendix C: On-Site Data Collection Sheet 17
Appendix D: Blended Rate Schedule 35
Appendix E: Maximum Allowable Estimated Useful Life of Optional Measures 36
Appendix F: Manual Calculation of Measure and Package SIR 37
Appendix G: Justification Images 39
Appendix H: Multi-Family Input Cost Sheet 40

1. SINGLE-FAMILY / SMALL MULTI-FAMILY ENERGY AUDIT PROTOCOL OVERVIEW

The California Department of Community Services and Development (CSD) adopts the following "Single-family /Small Multi-family Energy Audit Protocol" for inclusion in its Federal Department of Energy (DOE) Weatherization Assistance Program (WAP). The Single-family / Small Multi-family Energy Audit Protocol is a guidance document that describes required criteria for development of a site specific energy audit designed to justify the cost effectiveness for specific weatherization measures under CSD's WAP. This document specifically addresses the audit protocol for single-family and small multi-family dwellings, as defined by the CSD energy audit policies including, without limitation, CSD Energy Policy & Procedures (EP) 11-06 and EP 11-07A.

Underlying this protocol are the principles of transparency, consistency, and accountability. Data contained in the audit shall be transparent in methodology of data collection and calculation. The report format and content must be presented in a consistent manner; and persons completing the audit must be accountable for their work by adhering to protocol requirements, maintaining professional certifications, and providing quality assurance measures.

It is important to note that this audit policy enhances and augments the standard assessment, diagnostic procedures and installation policies under CSD's WAP. Any conflicts between the audit protocol and standard policies and standards should be brought to the attention of CSD for interpretation.

A key objective of an energy audit is to identify feasible and relevant energy conservation measures (measures) that qualify for funding under CSD's DOE WAP program. In addition to identifying ways to reduce the energy burden, the audit process must also conduct standard assessment of the integrity of the building to identify any deficiencies that could result in health and safety violations as defined by CSD's WAP.

The outcome of the site specific audit process is a report that identifies cost effective weatherization measures based on the:

- Location, climate zone, utility information and other relevant site information;
- Building profile, configuration and existing energy systems;
- Related health and safety checks and conditions;
- Calculated savings-to-investment ratio (SIR) of each measure including interactive effects of higher SIR measures (calculated in REM/Design); and
- Total calculated reduction in energy usage for the recommended measures (calculated in REM/Design).

The three main processes that constitute the CSD WAP Single-Family / Small Multi-family Energy Audit Protocol standards include the: 1) on-site visit, 2) energy modeling with energy savings analysis, and 3) report submittal. For energy audit purposes, CSD and DOE consider single-family dwellings to be those containing fewer than five units. In addition, this policy refers to multi-family dwellings containing fewer than 25 units and meeting the criteria of the CSD Energy Audit Policy referenced herein, and provided in Appendix A of this document.

2. AUDIT POLICY OVERVIEW

Agencies shall use one of two methods to determine feasible measures appropriate for any dwelling to be weatherized in accordance with the energy audit policy attached in Appendix A. The two methods are:

2.1. PRIORITY LIST METHOD (PRESCRIPTIVE APPROACH)

DOE-approved priority list for the dwelling climate zone and building type is used to determine allowable measures based on dwelling type and California Energy Commission (CEC) climate zone.

2.2. ENERGY AUDIT METHOD – REM/DESIGN (PERFORMANCE APPROACH)

Site-specific energy audit is used to justify energy saving measures based on cost effectiveness.

Table 1 shows the different categories of measures that are allowed under the two methods listed above. Measure categories are taken from "The DOE ARRA[1] Standard Agreement", and 10 CFR 440 "Appendix A to Part 440—Standards for Weatherization Materials" (provided in Appendix B).

Table 1: Measure Matrix

MEASURE CATEGORY	PRIORITY LIST METHOD (PRESCRIPTIVE APPROACH)	ENERGY AUDIT METHOD (PERFORMANCE APPROACH)
MANDATORY; ASSESSMENT/DIAGNOSTICS	Mandatory for all dwellings	Mandatory for all dwellings
MANDATORY; HEALTH AND SAFETY	Mandatory for all dwellings	Mandatory for all dwellings
MANDATORY; INFILTRATION REDUCTION	Mandatory for all dwellings	Mandatory for all dwellings
MANDATORY; OTHER MEASURES	Mandatory for all dwellings	Mandatory for all dwellings
EXHIBIT F, ATTACHMENT IV[2]- DOE PRIORITY LIST	Refer to priority list to determine if measures may be installed based on dwelling type and CEC Climate zone.	Measures implemented if Audit demonstrates cost effectiveness
OPTIONAL/AUDIT DRIVEN	Does Not Apply[3]	Measures implemented if Audit demonstrates cost effectiveness
10 CFR 440 APPENDIX A	Does Not Apply[2]	Measures implemented if Audit demonstrates cost effectiveness AND submitted to CSD for approval prior to installation

As shown in Table 1, there is the potential for a greater quantity of measures using energy audit method than the priority list method. Also shown in Table 1 is that all mandatory diagnostics, air sealing, duct sealing and health and safety measures must be installed per program rules, regardless of which path is taken. This adds complexity to the energy audit process because the calculations must be performed assuming that the air sealing, duct sealing and health and safety

[1] American Recovery and Reinvestment Act of 2009 (ARRA)
[2] 2009 DOE ARRA WAP Contract Amendment, Exhibit F, Attachment IV
[3] Use of the 10 CFR 440 Appendix A and Audit Driven measures are not allowed when using the Priority List Method/Prescriptive Approach

measures have already been performed. Details will be addressed in Section 4, Energy Modeling and Analysis Process.

3. ON-SITE PROCESS

Every dwelling evaluation begins with a complete assessment of the building and building systems, including all environmental, structural and health and safety checks per the DOE program rules. In addition, a site-specific energy audit is designed to gather complete and accurate information in order to conduct energy calculations and produce an audit report.

3.1. AUDITOR CONDUCT STANDARDS AND MINIMUM CREDENTIALS

Auditors conducting audits shall have the minimum skills, credentials and experience required to effectively perform the audits. In the event that a single auditor lacks all of the required skills, a qualified team[4] may be assembled to complete the audit. At a minimum, the audit team shall be capable of effectively performing the following tasks:

- Energy modeling (utilizing approved software);
- Building assessment (identifying safety, code , durability and energy systems issues) and field data collection;
- Diagnostic testing for energy efficiency and health and safety;
- Combustion appliance safety testing;
- Feasibility analysis for the installation of energy efficient building improvements;
- Construction cost estimating; and
- Financial analysis that generates investment grade level information/data.

3.2. SITE VISIT

The on-site energy audit shall be comprised of an in-person visit to the project by a qualified Auditor (or Audit Team) to complete the following tasks:

3.2.1. Dwelling Assessment

The dwelling assessment shall be performed by a person or team qualified to perform assessments under CSD's DOE WAP program and as described herein. The assessment is required for all properties regardless of prescriptive (priority list)-based approach or the performance (audit)-based approach. The assessment is used to ensure that all health and safety concerns are identified and the information collected during the assessment may be used in the modeling and analysis phase of the energy audit.

---

4 The audit team may include qualified non-agency/service provider personnel for purposes of building assessment if such personnel are otherwise disinterested third parties to the installation of weatherization services. Third party assessors/auditors/verifiers that assess dwelling units for energy purposes including, without limitation, mechanical systems, shall not be nor be affiliated with any person or entity responsible for installation or post-inspection of dwelling units receiving weatherization measure installation. Notwithstanding this requirement, nothing shall preclude the agency/service provider obtaining from any reliable party applicable construction costs to include in the energy audit.

3.2.2. On-Site Audit

In addition to the standard assessment, the information needed to populate an energy model must be collected for a REM/Design energy audit. This includes the information listed below. This data is recorded on the On-Site Data Collection Sheet included in Appendix C.

- General Building Design Characteristics
  - Foundation type
  - Total conditioned area
  - Approximate conditioned area of each floor
  - Number of bedrooms
  - Ceiling height and ceiling/attic characteristics
- Building Envelope Characteristics
  - Ceiling type and insulation level
  - Above-grade wall type and insulation level
  - Foundation wall type and insulation level
  - Frame floor type and insulation level
  - Door type and insulation level
- Window Properties of all Windows
  - Window Area (for each window/glazed area.) Includes: sliding glass doors, glass block, etc.
  - Window Type (single pane, dual pane low-E, etc.)
  - Window Material (metal frame, wood, vinyl, metal clad etc.)
  - Window Orientation (typically associated with each wall surface)
  - Window Overhang Details:
    - Depth of overhang
    - Distance between top of window and bottom of overhang at window center
    - Distance between bottom of window and bottom of overhang at window center
- Mechanical Equipment Properties
  - Heating Equipment
    - Fuel Type
    - Location and Type
    - Rated Output Capacity (in BTUh)
    - Seasonal Equipment Efficiency (AFUE, HSPF, %EFF, COP)
  - Cooling Equipment
    - Fuel Type
    - Rated Output Capacity (In BTUh)
    - Seasonal Equipment Efficiency (SEER, EER, %EFF, COP) Note: For most AC systems, SEER or EER are the most common metrics.
  - Ventilation Types (if applicable)
    - Ventilation Rate (CFM)
    - Hours/Day of Operation

    - Ventilation Strategy for Passive Cooling (i.e., natural ventilation or whole house fan installed)
  - Distribution Systems for HVAC Systems
    - Noted when the HVAC system has ducts (central HVAC) or is a ductless system (evaporative cooler or mini-split system).
  - Water Heating Equipment
    - Water Heater Type
    - Fuel Type
    - Energy Factor
    - Tank Size
    - Extra Tank Insulation R-value

4. ENERGY MODELING AND ANALYSIS PROCESS

An energy model of the building's pre- and post- weatherization energy performance is the basis for the cost effectiveness calculation (the "SIR") and shall be completed using information collected during the on-site assessment. REM/Design is the adopted software program for single-family and small multi-family dwellings in the CSD WAP program, and is used to estimate annual energy consumption and energy cost savings of the optional energy conservation measures identified in Table 1.

4.1. UTILITY RATES

The energy consultant shall model electricity and natural gas utility rates using the blended electrical rates contained in Appendix D to determine SIR of the measures. These rates are based on statewide and utility-wide average rates and may not be an accurate representation of the actual rates paid by the tenant. These rates factor in applicable monthly service charges.

For all other fuel types such as wood, propane, fuel oil and others, the fuel cost shall be based on available billing data on a case-by-case basis.

4.2. SINGLE-FAMILY (2-4 UNIT) AND SMALL MULTI-FAMILY MODELING CONSIDERATIONS

These considerations apply to all small multi-family dwellings as well as any single-family dwelling composed of more than one individual unit, per the CSD Energy Audit Policy attached in Appendix A.

In REM/Design the building must be modeled in one simulation, and follow specific specifications as shown below:

Table 2: REM/Design Building Specifications

PARAMETER	REQUIREMENT
REM/DESIGN INPUT MODE	Detailed Mode
HOUSING TYPE	Multi-family whole building
WALLS	Account for all walls adjacent to unconditioned space such as garages or outdoors. (Do not model walls between units)
FLOOR	Account for all floors adjacent to unconditioned space such as garages, ground, crawlspace, etc. Do not include floors adjacent to other apartments or common areas.
CEILING	Account for all ceilings adjacent to unconditioned space such as

	attics or vaulted ceilings adjacent to outdoors. Do not include any ceilings adjacent to other apartments or conditioned space.
NUMBER OF BEDROOMS	Includes all bedrooms in the entire building
MECHANICAL EQUIPMENT	Each model of similar equipment types must be accounted for. Instances of similar models may be input as increases quantities of that model.

As seen in the specifications above, all interior walls and ceilings are omitted. When inputting the number of bedrooms the model must account for the TOTAL number of bedrooms in the entire building, not just the number of bedrooms per dwelling.

The model must also account for all mechanical equipment in the building. When inputting mechanical equipment each piece can be manually created or if all pieces of equipment are identical the number of units can be increased on the "Mechanical Equipment Properties Summary" page in REM/Design. The program will automatically split the system load based on capacity.

4.3. DEFAULT VALUES USED IN ANALYSIS

Certain measures (Per CSD contract measure matrix--Appendix B of each DOE standard and DOE ARRA contract) are mandatory for every dwelling weatherized. Some of these measures can be evaluated in the REM/Design software, but due to the mandatory requirement for these measures these need not be calculated in the program. (For example, a very leaky house will be sealed regardless of an energy audit; therefore the energy audit calculations are based on the estimated post-weatherization infiltration rate.). For this reason, this section provides guidance on the use of "default" values to represent accurate energy savings based on post retrofit building conditions.

4.3.1. Mechanical Equipment Properties

Whenever possible, actual equipment information indicated on the mechanical equipment, or made available by manufacturer or professional web site, are to be input as existing properties, e.g., AFUE, SEER and EF, for the furnace, air conditioner, and hot water heater, respectively. Further, a performance adjustment of 100% (functions as new) is used when modeling mechanical equipment for the building. Default properties are to be used ONLY when values are unavailable from equipment nameplates, equipment tags, etc., and must not be used as a standard operating procedure. Using the REM/Design energy audit for change out of mechanical equipment is strictly for "efficiency" purposes. The actual existing (not hypothetical) equipment must be represented as in its original installation; the audit is not for replacement of equipment that is deficient or faulty on its face.

Each piece of mechanical equipment must be considered at top efficiency as if new, and the replacement unit must reflect a SIR of 1.0 or better. Adjusting efficiency, noting a piece of equipment is inoperable, or using a "default" (without some type of reliable substantiation, e.g. a bona fide research print out) is generally not allowed. The client file must contain justification for use of any mechanical equipment default, including photographs (identifiable to the existing equipment being audited for efficiency change out) and, if applicable, any copy/print out of research results, for example, from the AHRI web site (http://www.ahridirectory.org/ahridirectory/pages/home.aspx) referenced in the

REM/Design program "help". This applies to any mechanical equipment measure contemplated for installation. (See also Appendix G, Justification Images.)

4.3.2. Duct System

The duct system will be sealed and repaired during weatherization. Thus, any energy savings should be based on the estimated leakage of the duct system after repairs have been completed. On the "Duct System Properties Summary" screen in REM/Design the "Use Qualitative Default" button should be selected, and "RESNET/HERS Default" should be selected in the drop down box.

4.3.3. Shell Leakage

The building envelope will be sealed and repaired during weatherization; therefore, any energy retrofit savings should be based on the estimated shell leakage after repairs have been performed. On the "Whole House Infiltration" screen in REM/Design the following values should be specified:

Table 3: REM/Design Specified Values

MEASUREMENT TYPE:	USER ESTIMATE
HEATING SEASON INFILTRATION VALUE:	.4 (Natural ACH)
COOLING SEASON INFILTRATION VALUE:	.4 (Natural ACH)
SHELTER CLASS:	1
2009 IECC VERIFICATION	Visually Inspected
MECHANICAL VENTILATION:	As applicable based on type of mechanical ventilation present (ref. CSD WIS section 49)
VENTILATION STRATEGY FOR COOLING:	Natural ventilation or Whole House Fan

4.3.4. Lights and Appliances

Default values of lights and appliances may be used in analysis as follows. Justification must be included in the audit input form and kept in the client file for any values differing from these defaults. Actual measured performance and listed energy consumption may be used when available.

- Refrigerator: Total consumption needs to reflect "0" (zero) kWh/yr.
  Note: Refrigerator replacement is addressed outside the REM/D energy audit in the Weatherization Installation Standards (WIS) manual at section 37.
- Dishwasher: EF 0.46, kWh/yr entry will be "0" (zero), place setting capacity is "12" if standard size dishwasher or "8" if a compact dishwasher
- Range/Oven: Select the correct "Fuel" used for cooking. If range and oven use different fuels, select fuel representing the dominant use (usually the range).
- Clothes Dryer:
  - The auditor/verifier may either obtain the "Efficiency Factor" (for new dryers) from the California Energy Commission (CEC) (go to

http://www.appliances.energy.ca.gov/, click on either "Quick Search" or "Advanced Search" tab, and proceed from there), or allow REM/D to auto fill this field with a default value if unable to find actual value.

  - The Washer MEF (modified energy factor) is obtained from the same CEC database as the Efficiency Factor, above (note this is the *dryer* input area, but needs the *washer* MEF). If unable to obtain the Washer MEF, REM/D auto fills this field with a default value.

    Note: If using the CEC information, copy, print, and keep in file the copied page of the CEC database that describes characteristics of the clothes dryer

- Clothes Washer:
  - Obtain the "Label Energy Rating" (kWh/hr) from the EnergyGuide label, and if washer has ENERGY STAR® label information can also be found at the ENERGY STAR® Products web site: http://www.energystar.gov/index.cfm?fuseaction=clotheswash.search_clotheswashers.
  - "Capacity Cubic Ft." is the washer tub capacity and is obtained in manufacturer data or from the EnergyGuide label or at the ENERGY STAR® Products web site, above. If the actual capacity cannot be found, REM/D auto fills this field with a default value
  - Obtain and input the Electric Rate, Gas Rate, and Annual Gas Cost from the EnergyGuide label, or REM/D auto fills these three fields with default values if you are unable to find actual values on the label
    Note: If information from the EnergyGuide label, photograph the label and keep copy of the photograph in file; if information from the ENERGY STAR® web site, copy, print, and keep in file the copied page from the database that describes characteristics of the clothes washer
- Lighting:
  - CFL (%) input/leave "0.0" (zero percent); this is the REM/D default value
  - Pin-Based FL (%) input/leave at "10.0" (ten percent); this is the REM/D default value
  - Exterior Fixtures (%) input "100.0" (100 percent)
  - Garage Fixtures (%) input/leave at "0.0" (zero percent); this is the REM/D default value
- Ceiling Fan: Model as if there are no ceiling fans in the home, i.e. input "0" (zero)

4.4. EXCEPTIONAL CALCULATIONS

Energy conservation measures not directly modeled with REM/Design energy modeling software can be calculated outside of the program, provided that accepted engineering calculations and methodologies are used. Interactive effects must be accounted for in exceptional calculations. The methodologies, assumptions, and constants used in the exceptional calculations must be clearly documented and submitted to CSD as indicated in Sections 5.1. and 5.2. Sources of deemed savings must be referenced.

4.5. SAVINGS INVESTMENT RATIO (SIR) CALCULATIONS

When using REM/Design, the measure and package SIRs are calculated automatically by the software when the proposed measures are analyzed. The energy efficiency measures in REM/Design, the measure performance, and the cost to implement the measure must be carefully defined in the software. When calculating the cost to implement a measure, it shall only reflect the labor and materials needed to complete the measure, along with any incidental repair measure documented cost. Any administrative costs shall not be included in the SIR calculation.

DOE requires that all SIRs are calculated based on a "Discount Rate" of 3%. This must be entered in the "Mortgage/Discount Rate (%)" box during "Improvement Analysis Criteria" in REM/Design. Additionally, the "Mortgage Term" and "Appraised Value" need to reflect "0" (zero).

The allowable estimated useful life (EUL) for the audit-driven measures is provided in Appendix E. In the event that a proposed measure requires exceptional calculations, the measure and package SIRs shall be calculated using the methods outlined in Appendix F.

5. ENERGY AUDIT SUBMITTAL AND QUALITY ASSURANCE REVIEWS

A key objective of an energy audit under the CSD WAP is to identify feasible and relevant energy conservation measures that qualify for funding under the program. In order to ensure accuracy and integrity of site specific energy audits, and to assist service providers in improving the quality of audits, all energy audits are subject to review by CSD.

There are two distinct review levels, Tier 1 and Tier 2, each with respective submittal guidelines. The specifics of the required submittal materials are explained below. All auditors/verifiers begin in Tier 1. Upon successful completion of a minimum of 3 audits, with minor or no changes required, and at the sole discretion of CSD, the auditor/verifier will be notified by CSD of advancement to Tier 2 review status. However, at any time if submitted audits from Tier 2 auditor/verifiers need changes or do not meet CSD audit standards, the auditor/verifier's Tier 2 status will revert back to Tier 1 review status.

NOTE: The submittal and audit review process outlined below is an interim process until an automated web-based system can be implemented. Upon release of the automated audit review process, submittal requirements and other details shown in Sections 5.1 through 5.3 of this document may be redefined. This document will be updated to reflect the new submittal requirements at that time.

5.1. SINGLE-FAMILY DWELLING (SINGLE UNIT) SUBMITTAL

100% OF COMPLETED ENERGY AUDITS SHALL BE SUBMITTED ELECTRONICALLY TO CSD VIA EMAIL TO REM@CSD.CA.GOV. THE SUBMITTAL SHALL CONSIST OF THE FOLLOWING:

5.1.1. TIER 1 Submittal:

- REM/Design digital building file (*.blg)
- REM/Design Improvement Analysis Report (IAR) (automatically generated in REM/Design
- REM/Design Building File Report (BFR), generated and saved in REM/Design
- Justification Images (See Appendix G)
- Explicit Identification of any recommended measures not listed in the DOE standard or DOE ARRA contract. See Table 2 of this protocol.

- Documentation of any external calculations defined in Section 4.4.

5.1.2. TIER 2 Submittal:

- REM/Design digital building file (*.blg)
- REM/Design Improvement Analysis Report (IAR) (automatically generated in REM/Design)
- REM/Design Building File Report (BFR), generated and saved in REM/Design
- Explicit Identification of any recommended measures not listed in the DOE standard or DOE ARRA contract. See Table 2 of this protocol.
- Documentation of any external calculations defined in Section 4.4.

NOTE: CSD may request Justification Images on Tier 2 submissions.

5.2. SINGLE-FAMILY DWELLING (2-4 UNITS) AND SMALL MULTI-FAMILY DWELLING SUBMITTAL

100% OF COMPLETED ENERGY AUDITS SHALL BE SUBMITTED ELECTRONICALLY TO CSD VIA EMAIL TO REM@CSD.CA.GOV. THE SUBMITTAL SHALL CONSIST OF THE FOLLOWING:

5.2.1. TIER 1 Submittal:

- REM/Design digital building file (*.blg)
- REM/Design Improvement Analysis Report (IAR) reflecting the entire building (automatically generated in REM/Design)
- REM/Design Building File Report (BFR), generated and saved in REM/Design
- Justification Images (See Appendix G)
- REM/Design Multi-Family Input Cost Sheet (See Appendix H)
- Explicit Identification of any recommended measures not listed in the DOE standard or DOE ARRA contract. See Table 2 of this protocol.
- Documentation of any external calculations defined in Section 4.4.

5.2.2. TIER 2 Submittal:

- REM/Design digital building file (*.blg)
- REM/Design Improvement Analysis Report (IAR) reflecting the entire building (automatically generated in REM/Design)
- REM/Design Building File Report (BFR), generated and saved in REM/Design
- REM/Design Multi-Family Input Cost Sheet (See Appendix H)
- Explicit Identification of any recommended measures not listed in the DOE standard or DOE ARRA contract. See Table 2 of this protocol.
- Documentation of any external calculations defined in Section 4.4.

NOTE: CSD may request Justification Images on Tier 2 submissions.

5.3. TECHNICAL REVIEW

5.3.1. TIER 1: CSD will review a minimum 60% (3/5) of the first five audits from new agencies or new auditors/verifiers within an agency. Upon successful completion of a minimum of 3 audits (with minor or no changes required) and at the sole discretion of CSD, the auditor/verifier is notified by CSD of advancement to Tier 2 review status.

5.3.2. TIER 2: Once an agency or auditor/verifier has successfully advanced to Tier 2 status CSD will review approximately 15% (1/7) of all audits submitted by each Tier 2 auditor/verifier. EXCEPTION: Due to increased complexity all *small multi-family* energy audits are reviewed by CSD. Small multi-family audits should be discussed with CSD prior to submittal for approval to ensure conformance with current requirements.

5.3.3. CSD may, at its sole discretion, review any submitted energy audit for completeness and accuracy. Level of review will be determined on case by case basis by CSD staff and may require (re)submission of supporting documentation and/or site visit.

5.3.4. "Notice of Approval" of all approved (reviewed and non-reviewed) audits submitted to CSD will be issued electronically within 3 business days of receipt of REM/Design Building File (*.blg), REM/Design Improvement Analysis Report (IAR), and REM/Design Building File Report (BFR).

5.3.5. If, during quality assurance review, additional information is required prior to CSD approval, CSD will contact agency electronically to request information to complete the review. This contact normally will occur within 3 business days of receipt of REM/Design Building File (*.blg), REM/Design Improvement Analysis Report (IAR), and REM/Design Building File Report (BFR).

5.3.6. If an auditor/verifier is found to have submitted an energy audit that needs changed or otherwise does not meet CSD energy audit standards, the verifier's Tier 2 status will revert to Tier 1 technical review status.

5.4. INSTALLATION OF MEASURES

5.4.1. TIER 1: Installation of measures may begin immediately after notice of approval from CSD has been received.

5.4.2. TIER 2: Installation of audited measures that indicate a savings-to-investment ratio (SIR) of 1.0 or greater may begin immediately after the submittal process, and need not wait for a formal letter of approval from CSD. See also "exception" in Section 5.3.2, above, related to *small multi-family* energy audits.

APPENDIX A: CSD AUDIT POLICY

REV. 10/24/11 • NAA/PLG

WEATHERIZATION ANALYSIS OVERVIEW

There are multiple weatherization strategies to consider when identifying allowable weatherization measures for homes under CSD's WAP. These strategies vary based on building type, building size, heating fuel type and type of mechanical systems installed in the dwelling being weatherized. This document identifies the allowable paths for each building type under the CSD WAP.

Table 2, below, shows the allowable weatherization strategies for each of four building types defined in this program. For the purposes of this program the four building types are:

1) FOUR-PLEX OR SMALLER:
    a. "Four-Plex or Smaller" is a building containing 1-4 separate dwellings. This includes single-family dwellings and mobile homes.

2) SMALL MULTI-FAMILY DWELLING
    a. "Small Multi-family Dwelling" is a multi-family dwelling that meets all of the following criteria:
        i. 5-24 units
        ii. 3 stories or fewer
        iii. Individually metered (each unit pays its own utility bills)
        iv. Each unit is heated and cooled independently
        v. Each unit has its own hot water heater

3) MEDIUM MULTI-FAMILY DWELLING
    a. "Medium Multi-family Dwelling" is a multi-family dwelling that meets the following two criteria:
        i. 5-24 units
        ii. Has at least one of the following characteristics
            1. 4 stories or greater
            2. Utilities are master metered
            3. Common heating system
            4. Common cooling system
            5. Common water heating system

4) LARGE MULTI-FAMILY DWELLING
    a. "Large Multi-family Dwelling" is a multi-family dwelling that meets the following criteria:
        i. 25 units or greater

Table 2: Allowable Weatherization Strategies based on Building Type

HOUSING TYPE	MANDATORY MEASURE LIST	PRIORITY LIST METHOD	REM/DESIGN AUDIT METHOD	TREAT AUDIT METHOD
FOUR-PLEX OR SMALLER	X[5,6]	X[7]	X[8]	
SMALL MULTI-FAMILY DWELLING	X[5,6]	X[7]	X[8]	
MEDIUM MULTI-FAMILY DWELLING	X[5,6]	X[7]		X[8]
LARGE MULTI-FAMILY DWELLING	X[5,6]			X[8]

As shown in Table 2 above, there are three possible methods for identifying installable measures depending on building type. These methods are more fully explained in the following sections.

PRIORITY LIST METHOD

The CSD DOE ARRA priority list is a list of weatherization measures that are deemed to be cost effective by DOE. The priority list identifies cost effective measures in all climate zones for the "Single-family Dwelling" and "Small Multi-family Dwelling" building types.

For more information on how to implement the priority list in single-family and small multi-family dwellings, refer to the "CSD DOE ARRA Priority List."

In some cases the priority list method is not effective at identifying cost effective measures for a particular dwelling. In these cases identified by the criteria below, the REM/Design audit is mandatory and the priority list may not be used.

> **WHEN**: One or more measures in the priority list (for a particular climate zone and housing type) does not qualify for installation based on the priority list table.
>
> **AND a minimum of one of the conditions below exist:**
>
> - The primary heating fuel source is other than natural gas or wood (i.e. fuel oil, propane, etc.),
> - The client/household is not on a reduced income-qualified rate,
> - The building exhibits physical characteristics that fall outside of the range for the building types represented in the priority lists (i.e., pre-1950 single-family; post-1950 single-family; multi-family; and mobile homes). This is determined on a case-by-case basis, however, examples may include:
> - Single-family dwelling of 3 or more stories
> - Multiple ducted forced air systems (heating and/or air conditioning)

[5] Mandatory Measures include "Mandatory Assessment/Diagnostic Measures", "Infiltration Reduction", Health and Safety", and "Mandatory – Other"

[6] Mandatory Measures apply only to single units and alteration of common system is not allowed.

[7] Refer to the CSD Priority List Policy to determine allowable whole building measures and allowable measures when weatherizing a single unit.

[8] All audits apply to the whole building. Audits may not be used to justify measures in a single unit of any building containing two or more units.

  - Dwellings over 2,500 sq. ft.
  - Etc.
- There are audit-driven measures provided in the attached "Appendix B: DOE Approved Measures (10CFR440 [2011], Appendix A)" that may be feasible and will require an energy audit to make that determination (i.e., replacing windows, replacing heating and cooling units for energy efficiency, adding a programmable thermostat even though the priority list does not allow for that scenario)

THEN: An energy audit is required. When an audit is conducted, the audit results supersede the priority list table data. Therefore, all available measures shall be evaluated by the audit for installation in the dwelling. In no case shall measures with higher SIRs be skipped or "leapfrogged" for measures with lower SIRs.

REM/DESIGN AUDIT METHOD

The REM/Design audit method is employed in a four-plex or smaller dwellings (i.e., single-family detached, duplex, tri-plex, or mobile home) when the priority list method may not sufficiently identify all cost effective measures. Using the REM/Design audit method, an agency will perform a standard assessment to identify all health and safety issues and will perform a computer based energy audit using site specific information collected on-site.

TREAT AUDIT METHOD

For Medium and Large Multi-family Dwellings, the TREAT Audit Method is appropriate. Due to the scope and expertise required to perform this type of energy audit, a qualified third party is usually employed to audit the building and identify any energy saving measures and health and safety issues.

For more information on the TREAT Audit Method for Medium and Large Multi-family Dwellings, refer to CSD's "Medium and Large Multi-family Energy Audit Protocol"

APPENDIX B: DOE APPROVED MEASURES (10CFR440 [2011])

APPENDIX A TO PART 440— STANDARDS FOR WEATHERIZATION MATERIALS

The following Government standards are produced by the Consumer Product Safety Commission and are published in title 16, Code of Federal Regulations:

Thermal Insulating Materials for Building Elements Including Walls, Floors, Ceilings, Attics, and Roofs Insulation—organic fiber—conformance to Interim Safety Standard in 16 CFR part 1209;

Fire Safety Requirements for Thermal Insulating Materials According to Insulation Use—Attic Floor—insulation materials intended for exposed use in attic floors shall be capable of meeting the same flammability requirements given for cellulose insulation in 16 CFR part 1209;

Enclosed spaces—insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting the smoldering combustion requirements in 16 CFR part 1209.

The following standards which are not otherwise set forth in part 440 are incorporated by reference and made a part of part 440. The following standards have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated as they exist on April 5, 1993 and a notice of any change in these materials will be published in the **Federal Register.** The standards incorporated by reference are available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to: *http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html*.

The standards incorporated by reference in part 440 can be obtained from the following sources:

Air Conditioning and Refrigeration Institute, 1501 Wilson Blvd., Arlington, VA 22209; (703) 524-8800.

American Gas Association, 1515 Wilson Blvd., Arlington, VA 22209; (703) 841-8400.

American National Standards Institute, Inc., 1430 Broadway, New York, NY 10018; (212) 642-4900.

American Society of Mechanical Engineers, United Engineering Center, 345 East 47th Street, New York, NY 10017; (212) 705-7800.

American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103; (215) 299-5400.

American Architectural Manufacturers Association, 1540 East Dundee Road, Palatine, IL 60067; (708) 202-1350.

Federal Specifications, General Services Administration, Specifications Section, Room 6654, 7th and D Streets, SW, Washington, DC 20407; (202) 708-5082.

Gas Appliance Manufacturers Association, 1901 Moore St., Arlington, VA 22209; (703) 525-9565.

National Electrical Manufacturers Association, 2101 L Street, NW, Suite 300, Washington, DC 20037; (202) 457-8400.

National Fire Protection Association, Batterymarch Park, P.O. Box 9101, Quincy, MA 02269; (617) 770-3000.

National Standards Association, 1200 Quince Orchard Blvd., Gaithersburg, MD 20878; (301) 590-2300. (NSA is a local contact for materials from ASTM).

National Wood Window and Door Association, 1400 East Touhy Avenue, Des Plaines, IL 60018; (708) 299-5200.

Sheet Metal and Air Conditioning Contractors Association, P.O. Box 221230, Chantilly, VA 22022-1230; (703) 803-2980.

Steel Door Institute, 712 Lakewood Center North, 14600 Detroit Avenue, Cleveland, OH 44107; (216) 899-0100.

Steel Window Institute, 1230 Keith Building, Cleveland, OH 44115; (216) 241-7333.

Tubular Exchanger Manufacturers Association, 25 North Broadway, Tarrytown, NY 10591: (914) 332-0040.

Underwriters Laboratories, Inc., P.O. Box 75530, Chicago, IL 60675-5330; (708) 272-8800.

More information regarding the standards in this reference can be obtained from the following sources:

Environmental Protection Agency, 401 M Street, NW, Washington, DC 20006; (202) 554-1080.

National Institute of Standards and Technology, U.S. Department of Commerce, Gaithersburg, MD 20899, (301) 975-2000.

Weatherization Assistance Programs Division, Conservation and Renewable Energy, Mail Stop 5G-023, Forrestal Bldg, 1000 Independence Ave, SW, Washington, DC 20585, (202) 586-2207.

THERMAL INSULATING MATERIALS FOR BUILDING ELEMENTS INCLUDING WALLS, FLOORS, CEILINGS, ATTICS, AND ROOFS
[Standards for conformance]

Insulation—mineral fiber:	
Blanket insulation	ASTM[1] C665–88.
Roof insulation board	ASTM C726–88.
Loose-fill insulation	ASTM C764–88.
Insulation—mineral cellular:	
Vermiculite loose-fill insulation	ASTM C516–80 (1990).
Perlite loose-fill insulation	ASTM C549–81 (1986).
Cellular glass insulation block	ASTM C552–88.
Perlite insulation board	ASTM C728–89a.
Insulation—organic fiber:	
Cellulosic fiber insulating board	ASTM C208–72 (1982).
Cellulose loose-fill insulation.	ASTM C739–88.
Insulation-organic cellular:	
Preformed block-type polystyrene insulation..	ASTM C578–87a.
Rigid preformed polyurethane insulation board.	ASTM C591–85.
Polyurethane or polyisocyanurate insulation board faced with aluminum foil on both sides	FS[2] HH-I–1972/1 (1981).
Polyurethane or polyisocyanurate insulation board faced with felt on both sides	FS HH-I–1972/2 (1981). And Amendment 1, October 3, 1985.
Insulation—composite boards:	
Mineral fiber and rigid cellular polyurethane composite roof insulation board	ASTM C726–88.
Perlite board and rigid cellular polyurethane composite roof insulation	ASTM C984–83.
Gypsum board and polyurethane or polisocyanurate composite board	FS HH–I–1972/4 (1981).
Materials used as a patch to reduce infiltration through the building envelope	Commercially available.

[1] ASTM indicates American Society for Testing and Materials.
[2] FS indicates Federal Specifications.

THERMAL INSULATING MATERIALS FOR PIPES, DUCTS, AND EQUIPMENT SUCH AS BOILERS AND FURNACES
[Standards for conformance]

Insulation—mineral fiber:	
Preformed pipe insulation	ASTM[1] C547–77.
Blanket and felt insulation (industrial type)	ASTM C553–70 (1977).
Blanket insulation and blanket type pipe insulation (metal-mesh covered) (industrial type)	ASTM C592–80.
Block and board insulation	ASTM C612–83.
Spray applied fibrous insulation for elevated temperature	ASTM C720–89.
High-temperature fiber blanket insulation	ASTM C892–89.
Duct work insulation	Selected and applied according to ASTM C971–82.
Insulation—mineral cellular:	
Diatomaceous earth block and pipe insulation	ASTM C517–71 (1979)
Calcium silicate block and pipe insulation	ASTM C533–85 (1990).
Cellular glass insulation	ASTM C552–88.
Expanded perlite block and pipe insulation	ASTM C610–85.
Insulation—Organic Cellular:	
Preformed flexible elastomeric cellular insulation in sheet and Tubular form	ASTM C534–88.
Unfaced preformed rigid cellular polyurethane insulation	ASTM C591–85.
Insulation skirting	Commercially available.

[1] ASTM indicates American Society for Testing and Materials.

FIRE SAFETY REQUIREMENTS FOR INSULATING MATERIALS ACCORDING TO INSULATION USE
[Standards for conformance]

Attic Floor	Insulation materials intended for exposed use in attic floors shall be capable of meeting the same smoldering combustion requirements given for cellulose insulation in ASTM[1] C739-88.
Enclosed space	Insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting the smoldering combustion requirements in ASTM C739–88.
Exposed interior walls and ceilings	Insulation materials, including those with combustible facings, which remain exposed and serve as wall or ceiling interior finish, shall have a flame spread classification not to exceed 150 (per ASTM E84–89a).
Exterior envelope walls and roofs	Exterior envelope walls and roofs containing thermal insulations shall meet applicable local government building code requirements for the complete wall or roof assembly.
Pipes, ducts, and equipment	Insulation materials intended for use on pipes, ducts and equipment shall be capable of meeting a flame spread classification not to exceed 150 (per ASTM E84–89a).

[1] ASTM indicates American Society for Testing and Materials.

STORM WINDOWS
[Standards for conformance]

Storm windows:	
Aluminum insulating storm windows	ANSI/AAMA[1]1002.10–83.
Aluminum frame storm windows	ANSI/AAMA 1002.10–83.
Wood frame storm windows	ANSI/NWWDA[2] I.S. 2–87. (Section 3)
Rigid vinyl frame storm windows	ASTM[3] D4099–89.
Frameless plastic glazing storm	Required minimum thickness windows is 6 mil (.006 inches).
Movable insulation systems for windows	Commercially available.

[1] ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.
[2] ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.
[3] ASTM indicates American Society for Testing and Materials.

STORM DOORS
[Standards for conformance]

Storm doors—Aluminum:	
Storm Doors	ANSI/AAMA[1] 1102.7–89.
Sliding glass storm doors	ANSI/AAMA 1002.10–83.
Wood storm doors	ANSI/NWWDA[2] I.S. 6–86.
Rigid vinyl storm doors	ASTM[3] D3678–88.
Vestibules:	
Materials to construct vestibules	Commercially available.
Replacement windows:	
Aluminum frame windows	ANSI/AAMA 101–88.
Steel frame windows	Steel Window Institute recommended specifications for steel windows, 1990.
Wood frame windows	ANSI/NWWDA I.S. 2–87.
Rigid vinyl frame windows	ASTM D4099–89.

[1] ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.
[2] ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.
[3] ASTM indicates American Society for Testing and Materials.

REPLACEMENT DOORS
[Standards for conformance]

Replacement doors—Hinged doors:	
Steel doors	ANSI/SDI[1] 100–1985.
Wood doors:	
Flush doors	ANSI/NWWDA[2] I.S. 1–87. (exterior door provisions)
Pine, fir, hemlock and spruce doors	ANSI/NWWDA I.S. 6–86.
Sliding patio doors:	
Aluminum doors	ANSI/AAMA[3] 101–88.
Wood doors	NWWDA I.S. 3–83.

[1] ANSI/SDI indicates American National Standards Institute/Steel Door Institute.
[2] ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.
[3] ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.

CAULKS AND SEALANTS:
[Standards for conformance]

Caulks and sealants:	
Putty	FS[1] TT–P–00791B, October 16, 1969 and Amendment 2, March 23, 1971.
Glazing compounds for metal sash	ASTM[2] C669–75 (1989).
Oil and resin base caulks	ASTM C570–72 (1989).
Acrylic (solvent types) sealants	FS TT–S–00230C, February 2, 1970 and Amendment 2, October 9, 1970.
Butyl rubber sealants	FS TT–S–001657, October 8, 1970.
Chlorosulfonated polyethylene sealants	FS TT–S–00230C, February 2, 1970 and Amendment 2, October 9, 1970.
Latex sealing compounds	ASTM C834–76 (1986).
Elastomeric joint sealants (normally considered to include polysulfide, polyurethane, and silicone).	ASTM C920–87.
Preformed gaskets and sealing materials	ASTM C509–84.

[1] FS indicates Federal Specifications.
[2] ASTM indicates American Society for Testing and Materials.

WEATHERSTRIPPING
[Standards for conformance]

Weatherstripping	Commercially available.
Vapor retarders	Selected according to the provisions cited in ASTM[1] C755–85 (1990).
	Permeance not greater than 1 perm when determined according to the desiccant method described in ASTM E96–90.
Items to improve attic ventilation	Commercially available.
Clock thermostats	NEMA[2] DC 3–1989.

[1] ASTM indicates American Society for Testing and Materials.
[2] NEMA indicates National Electrical Manufacturers Association.

HEAT EXCHANGERS
[Standards for conformance]

Heat exchangers, water-to-water and steam-to-water	ASME[1] Boiler and Pressure Vessel Code, 1992, Sections II, V, VIII, IX, and X, as applicable to pressure vessels. Standards of Tubular Exchanger Manufacturers Association, Seventh Edition, 1988.
Heat exchangers with gas-fired appliances[2]	Conformance to AGA[3] Requirements for Heat Reclaimer Devices for Use with Gas-Fired Appliances No. 1–80, June 1, 1980. AGA Laboratories Certification Seal.
Heat pump water heating heat recovery systems	Electrical components to be listed by UL.[4]

[1] ASME indicates American Society of Mechanical Engineers.
[2] The heat reclaimer is for installation in a section of the vent connector from appliances equipped with draft hoods or appliances equipped with powered burners or induced draft and not equipped with a draft hood.
[3] AGA indicates American Gas Association.
[4] UL indicates Underwriters Laboratories.

BOILER/FURNACE CONTROL SYSTEMS
[Standards for conformance]

Automatic set back thermostats	Listed by UL.[1] Conformance to NEMA[2] DC 3–1989.
Line voltage or low voltage room thermostats	NEMA DC 3–1989.
Automatic gas ignition systems	ANSI[3] Z21.21–1987 and Z21.21a-1989. AGA[4] Laboratories Certification Seal.
Energy management systems	Listed by UL.
Hydronic boiler controls	Listed by UL.
Other burner controls	Listed by UL.

[1] UL indicates Underwriters Laboratories.
[2] NEMA indicates National Electrical Manufacturers Association.
[3] ANSI indicates American National Standards Institute.
[4] AGA indicates American Gas Association.

WATER HEATER MODIFICATIONS
[Standards for conformance]

Insulate tank and distribution piping	(See insulation section of this appendix).
Install heat traps on inlet and outlet piping	Applicable local plumbing code.
Install/replace water heater heating elements	Listed by UL.[1]
Electric, freeze-prevention tape for pipes	Listed by UL.
Reduce thermostat settings	State or local recommendations.
Install stack damper, gas-fueled	ANSI[2] Z21.66–1988, including Exhibits A&B, and ANSI Z223.1–1988.
Install stack damper, oil-fueled	UL 17, November 28, 1988, and NFPA[3] 31–1987.
Install water flow modifiers	Commercially available.

[1] UL indicates Underwriters Laboratories.
[2] ANSI indicates American National Standards Institute.
[3] NFPA indicates National Fire Prevention Association.

WASTE HEAT RECOVERY DEVICES
[Standards for conformance]

Desuperheater/water heaters	ARI[1] 470–1987.
Condensing heat exchangers	Commercially available components and in new heating furnace systems to manufacturers' specifications.
Condensing heat exchangers	Commercially available (Commercial, multi-story building, with teflon-lined tubes institutional) to manufacturers' specifications.
Energy recovery equipment	Energy Recovery Equipment and Systems Air-to-Air (1978) Sheet Metal and Air-Conditioning Contractors National Association (SMACNA).[2]

[1] ARI indicates Air Conditioning and Refrigeration Institute.
[2] SMACNA denotes Sheet Metal and Air Conditioning Contractors' National Association.

BOILER REPAIR AND MODIFICATIONS/EFFICIENCY IMPROVEMENTS
[Standards for conformance]

Install gas conversion burners	ANSI[1] Z21.8–1984, (for gas or oil-fired systems) ANSI Z21.17–1984, ANSI Z21.17a-1990, and ANSI Z223.1–1988. AGA[2] Laboratories Certification seal.
Replace oil burner	UL[3] 296, February 28, 1989 Revision and NFPA[4] 31–1987.
Install burners (oil/gas)	ANSI Z223.1–1988 for gas equipment and NFPA 31–1987 for oil equipment.
Re-adjust boiler water temperature or install automatic boiler temperature reset control.	ASME[5] CSD–1–1988, ASME CSD–1a-1989, ANSI Z223.1–1988, and NFPA 31–1987.
Replace/modify boilers	ASME Boiler and Pressure Vessel Code, 1992, Sections II, IV, V, VI, VIII, IX, and X. Boilers must be Institute of Boilers and Radiation Manufacturers (IBR) equipment.
Clean heat exchanger, adjust burner air shutter(s), check smoke no. on oil-fueled equipment. Check operation of pump(s) and replacement filters.	Per manufacturers' instructions.
Repair combustion chambers	Refractory linings may be required for conversions.
Replace heat exchangers, tubes	Protection from flame contact with conversion burners by refractory shield.
Install/replace thermostatic radiator valves	Commercially available. One pipe steam systems require air vents on each radiator; see manufacturers' requirements.
Install boiler duty cycle control system	Commercially available. NFPA 70, National Electrical Code (NEC) 1993 and local electrical codes provisions for wiring.

[1] ANSI indicates American National Standards Institute.
[2] AGA indicates American Gas Association.
[3] UL indicates Underwriters Laboratories.
[4] NFPA indicates National Fire Prevention Association.
[5] ANSI/ASME indicates American National Standards Institute/American Society of Mechanical Engineers.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS
[Standards for conformance]

Install duct insulation	FS[1] HH-I–558C, January 7, 1992 (see insulation sections of this appendix).
Reduce input of burner; derate gas-fueled equipment	Local utility company and procedures if applicable for gas-fueled furnaces and ANSI[2] Z223.1–1988 (NFPA[3] 54–1988) including Appendix H.
Repair/replace oil-fired equipment	NFPA 31–1987.
Replace combustion chamber in oil-fired furnaces or boilers	NFPA 31–1987.
Clean heat exchanger and adjust burner: adjust air shutter and check CO2 and stack temperature. Clean or replace air filter on forced air furnace.	ANSI Z223.1–1988 (NFPA 54–1988) including Appendix H.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS--Continued
[Standards for conformance]

Install vent dampers for gas-fueled heating systems	Applicable sections of ANSI Z223.1–1988 (NFPA 54–1988) including Appendices H, I, J, and K. ANSI Z21.66–1988 and Exhibits A & B for electrically operated dampers.
Install vent dampers for oil-fueled heating systems	Applicable sections of NFPA 31–1987 for installation and in conformance with UL[4] 17, November 28, 1988.
Reduce excess combustion air:	
A: Reduce vent connector size of gas-fueled appliances	ANSI Z223.1–1988 (NFPA 54–1988) Part 9 and Appendices G & H.
B: Adjust barometric draft regulator for oil fuels	NFPA 31–1987 and per manufacturers' (furnace or boiler) instructions.
Replace constant burning pilot with electric ignition device on gas-fueled furnaces or boilers.	ANSI Z21.71–1981, Z21.71a-1985, and Z21.71b-1989.
Readjust fan switch on forced air gas or oil-fueled furnaces	Applicable sections and Appendix H of ANSI Z223.1–1988 (NFPA 54–1988) for gas furnaces and NFPA 31–1987 for oil furnaces.
Replace burners	See power burners (oil/gas).
Install/replace duct furnaces (gas)	ANSI Z223.1–1988 (NFPA 54–1988).
Install/replace heat pumps	Listed by UL.
Replace air diffusers, intakes, registers, and grilles	Commercially available.
Install/replace warm air heating metal ducts	Commercially available.
Filter alarm units	Commercially available.

[1] FS indicates Federal Specifications.
[2] ANSI indicates American National Standards Institute.
[3] NFPA indicates National Fire Prevention Association.
[4] UL indicates Underwriters Laboratories.

REPLACEMENT FURNACES, BOILERS, AND WOOD STOVES
[Standards for conformance]

Chimneys, fireplaces, vents and solid fuel burning appliances	NFPA[1] 211–1988.
Gas-fired furnaces	ANSI[2] Z21.47–1987, Z21.47a–1988, and Z21.47b–1989. ANSI Z223.1–1988 (NFPA 54–1988).
Oil-fired furnaces	UL[3] 727, August 27, 1991 Revision and NFPA 31–1987.
Liquified petroleum gas storage	NFPA 58–1989.
Ventilation fans:	
Including electric attic, ceiling, and whole house fans	UL 507, August 23, 1990 Revision.

[1] NFPA indicates National Fire Prevention Association.
[2] ANSI indicates American National Standards Institute.
[3] UL indicates Underwriters Laboratories.

AIR CONDITIONERS AND COOLING EQUIPMENT
[Standards for conformance]

Air conditioners:	
Central air conditioners	ARI[1] 210/240–1989.
Room size units	ANSI/AHAM[2] RAC–1–1982.
Other cooling equipment:	
Including evaporative coolers, heat pumps and other equipment	UL[3] 1995, November 30, 1990.[4]

[1] ARI indicates Air Conditioning and Refrigeration Institute.
[2] AHAM/ANSI indicates American Home Appliance Manufacturers/American National Standards Institute.
[3] UL indicates Underwriters Laboratories.
[4] This standard is a general standard covering many different types of heating and cooling equipment.

SCREENS, WINDOW FILMS, AND REFLECTIVE MATERIALS
[Standards for conformance]

Insect screens	Commercially available.
Window films	Commercially available.
Shade screens:	
Fiberglass shade screens	Commercially available.
Polyester shade screens	Commercially available.
Rigid awnings:	
Wood rigid awnings	Commercially available.
Metal rigid awnings	Commercially available.
Louver systems:	
Wood louver systems	Commercially available.
Metal louver systems	Commercially available.
Industrial-grade white paint used as a heat-reflective measure on awnings, window louvers, doors, and exterior duct work (exposed).	Commercially available.

APPENDIX C: ON-SITE DATA COLLECTION SHEET

CONTRACTOR SIMPLIFIED AUDIT INPUT REPORT
(Rev. 08/25/11)
Instructions

1. Contractor's auditor must complete a thorough review of each dwelling and note the specifics of the review in the Audit Input Report.

2. The auditor is required to sign and date the form to certify that the audit data collection was completed. A copy must be retained in the client file.

3. When filling in the form electronically, Project Name or ID will auto-populate throughout the form.

4. In the Audit Input Report, make sure to check all appropriate boxes. Where a line is left blank, the auditor must input (write-in) the appropriate information.

5. Each section of the form shall be completed with all available dwelling information, in order to input complete data into the REM/Design audit tool. Auditors are encouraged to make additional notes as necessary in available space or on the reverse of the appropriate pages.

"There is no contractor's equivalent allowed for this form"

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 544 (Rev. 08/25/11)

Auditor Name:

REM ENERGY AUDIT ENTRY FORM

AGENCY NAME: _____ Audit Date: _____

PROJECT NAME OR ID _____

PROPERTY INFORMATION ☐Comments on reverse

Building Name _____

Occupant's Name _____

Property Address _____ Unit # _____

City, State, Zip _____ **CA** _____

Phone Number(s) _____

BUILDING INFORMATION ☐Comments on reverse

Owner's Name _____

Owner's Address _____

Phone Number(s) _____

GENERAL BUILDING CHARACTERISTICS ☐Comments on reverse

No. of Stories
- ☐ 1
- ☐ 1-1/2
- ☐ 2
- ☐ 2-2/1
- ☐ 3
- ☐ Bi-Level
- ☐ Tri-Level

Foundation Type(s)
- ☐ Slab
- ☐ Open Crawl Space
- ☐ Enclosed Crawl Space
- ☐ Conditioned Crawl Space
- ☐ Unconditioned Basement
- ☐ Conditioned Basement
- ☐ More than One Type
- ☐ Apartment over Cond. Space
- ☐ None

Conditioned Floor Area _____ Sq. Ft.

No. of Bedrooms _____

Mobile Home _____ Length (ft.)
_____ Width (ft.)
_____ Height (ft.)

	Heated Basement	1st Level	Mid Level	2nd Level	3rd Level
Distribution of Cond. Floor Area:	%	%	%	%	%
Characteristics of Each Floor Level:					
Number of Corners					
Percent Open to Level Above	%	%		%	
Nominal Flat Ceiling Height					
Percent Vaulted Ceiling		%	%	%	%

Conditioned Floor Area Over Garage: _____ % of Total Floor Area

PROJECT NAME OR ID 0

GENERAL BUILDING CHARACTERISTICS (con't.) ☐Comments on reverse

Ceiling(s):	**Attic -1**	**Attic -2**	**Attic -3**	**Attic -4**	**Vaulted 1**	**Vaulted 2**
Contintinuous Insulation R-Value						
Cavity Insulation R-Value						
Cavity Insulation Thickness (in.)						
Gypsum Thickness (in.)						
Ceiling Joist/Bottom Chord Size (w x h, in.)						
Ceiling Joist/Bottom Chord Spacing (in o.c.)						
Framing Factor (use default or calculate)						
Square Feet of Attic						

Above-Grade Wall(s):	**Wall-1**	**Wall-2**	**Wall-3**	**Wall-4**	**Wall-5**	**Wall-6**
Continuous Insulation R-Value						
Frame Cavity Insulation R-Value						
Cavity Insulation Thickness (in.)						
Stud Size (w x d, in.)						
Stud Spacing (in o.c.)						
Gypsum Thickness (in.)						
Framing Factor						
Use Default Framing Factor	☐	☐	☐	☐	☐	☐
Gross Sq. Ft.						
Wall Construction: Standard Stud Frame	☐	☐	☐	☐	☐	☐
Double Stud Frame	☐	☐	☐	☐	☐	☐
Std Frame w/ Brick Veneer	☐	☐	☐	☐	☐	☐
Standard Metal Frame	☐	☐	☐	☐	☐	☐
Solid Concrete or Stone	☐	☐	☐	☐	☐	☐
Double Brick	☐	☐	☐	☐	☐	☐
Hollow-core Concrete Block	☐	☐	☐	☐	☐	☐

Floors

	Floor 1	**Floor 2**	**Floor 3**	**Floor 4**
Slab Floor Perimeter Insulation (R-value)				
Perimeter Insulation Depth (ft.)				
Area (sq.ft.)				
Depth Below Grade (ft.) (0 if on-grade)				
Full Perimeter (ft.)				
Exposed Perimeter (ft.)				
Frame Floor:				
Continuous Insulation R-Value				
Cavity Insulation R-Value				
Cavity Insulation Thickness (in.)				
Joist Size (w x h, in.)				
Joist Spacing (in o.c.)				
Location:				
Floor Covering				
Carpet	☐	☐	☐	☐
Tile	☐	☐	☐	☐
Hardwood	☐	☐	☐	☐
Vinyl	☐	☐	☐	☐
None	☐	☐	☐	☐
Framing Factor				
Use Default Framing Factor:	☐	☐	☐	☐

Location:
Between conditioned space and
A. - ambient conditions
B. - garage
C. - open crawl space
D. - unconditioned basement
C. - enclosed crawl space

WINDOW & GLASS DOOR PROPERTIES ☐ Comments on reverse

PROJECT NAME OR ID 0

Window #	1	2	3	4	5	6	7	8
Wall Assignment:								
Window Name (wall - #):								
Type of Window:								
Single - Metal	☐	☐	☐	☐	☐	☐	☐	☐
Single - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Double - Metal	☐	☐	☐	☐	☐	☐	☐	☐
Double - Metal w/ brk	☐	☐	☐	☐	☐	☐	☐	☐
Double - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Double - Vinyl	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Metal w/ break	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Vinyl	☐	☐	☐	☐	☐	☐	☐	☐
Sliding Glass Door	☐	☐	☐	☐	☐	☐	☐	☐
French Door	☐	☐	☐	☐	☐	☐	☐	☐
Other (list on back)								
Window Area (sq.ft.):								
Interior Shading								
Winter	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No
Summer	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No
Adjacent Shading:								
None	☐	☐	☐	☐	☐	☐	☐	☐
Some	☐	☐	☐	☐	☐	☐	☐	☐
Most	☐	☐	☐	☐	☐	☐	☐	☐
Complete	☐	☐	☐	☐	☐	☐	☐	☐
Overhang:								
Depth (ft.):								
To Top of Window (ft.):								
To Bottom of Window (ft.)								
Orientation:								
Northwest	☐	☐	☐	☐	☐	☐	☐	☐
North	☐	☐	☐	☐	☐	☐	☐	☐
Northeast	☐	☐	☐	☐	☐	☐	☐	☐
East	☐	☐	☐	☐	☐	☐	☐	☐
Southeast	☐	☐	☐	☐	☐	☐	☐	☐
South	☐	☐	☐	☐	☐	☐	☐	☐
Southwest	☐	☐	☐	☐	☐	☐	☐	☐
West	☐	☐	☐	☐	☐	☐	☐	☐

DOORS

Name:	Door #1	Door #2	Door #3	Door #4
Wall:				
Type				
Wood hollow core	☐	☐	☐	☐
1-3/8 Wd solid core	☐	☐	☐	☐
1-3/8 Wd panel	☐	☐	☐	☐
1-3/4 Wd panel	☐	☐	☐	☐
1-3/4 Wd solid core	☐	☐	☐	☐
2-1/4 Wd solid core	☐	☐	☐	☐
Steel-polystyrene	☐	☐	☐	☐
Steel-fiberboard	☐	☐	☐	☐
Steel-urethane foam	☐	☐	☐	☐
Steel-polyurethane	☐	☐	☐	☐
Door Area (sq.ft.)				
Storm Door Present:	Yes No	Yes No	Yes No	Yes No

WINDOW & GLASS DOOR PROPERTIES ☐ Comments on reverse

PROJECT NAME OR ID _____

Window #	9	10	11	12	13	14	15	16
Wall Assignment:								
Window Name (wall - #):								
Type of Window:								
Single - Metal	☐	☐	☐	☐	☐	☐	☐	☐
Single - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Double - Metal	☐	☐	☐	☐	☐	☐	☐	☐
Double - Metal w/ brk	☐	☐	☐	☐	☐	☐	☐	☐
Double - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Double - Vinyl	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Metal w/ break	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Wood	☐	☐	☐	☐	☐	☐	☐	☐
Triple - Vinyl	☐	☐	☐	☐	☐	☐	☐	☐
Sliding Glass Door	☐	☐	☐	☐	☐	☐	☐	☐
French Door	☐	☐	☐	☐	☐	☐	☐	☐
Other (list on back)								
Window Area (sq.ft.):								
Interior Shading								
Winter	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No
Summer	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No	Yes No
Adjacent Shading:								
None	☐	☐	☐	☐	☐	☐	☐	☐
Some	☐	☐	☐	☐	☐	☐	☐	☐
Most	☐	☐	☐	☐	☐	☐	☐	☐
Complete	☐	☐	☐	☐	☐	☐	☐	☐
Overhang:								
Depth (ft.):								
To Top of Window (ft.):								
To Bottom of Window (ft.)								
Orientation:								
Northwest	☐	☐	☐	☐	☐	☐	☐	☐
North	☐	☐	☐	☐	☐	☐	☐	☐
Northeast	☐	☐	☐	☐	☐	☐	☐	☐
East	☐	☐	☐	☐	☐	☐	☐	☐
Southeast	☐	☐	☐	☐	☐	☐	☐	☐
South	☐	☐	☐	☐	☐	☐	☐	☐
Southwest	☐	☐	☐	☐	☐	☐	☐	☐
West	☐	☐	☐	☐	☐	☐	☐	☐

SPACE HEATING ONLY ☐Comments on reverse

PROJECT NAME OR ID 0

Heating System Name:	**HS-1**	**HS-2**	**HS-3**	**HS-4**
Primary Heating System:				
Secondary Heating System:				
Thermostat Present:	Yes No	Yes No	Yes No	Yes No
T-stat Setting:				
Programmable T-stat:	Yes No	Yes No	Yes No	Yes No

System Type:

Fuel-fired air distribution	☐	☐	☐	☐
Fuel-fired hydronic distribution	☐	☐	☐	☐
Fuel-fired unit heater	☐	☐	☐	☐
Electric baseboard or radiant	☐	☐	☐	☐
Electric air distribution	☐	☐	☐	☐
Eletric hydronic distribution	☐	☐	☐	☐
Air-source heat pump	☐	☐	☐	☐
Ground-source heat pump	☐	☐	☐	☐
None	☐	☐	☐	☐

Fuel Type:

Nat. gas	☐	☐	☐	☐
Propane	☐	☐	☐	☐
Fuel Oil	☐	☐	☐	☐
Electric	☐	☐	☐	☐
Kerosene	☐	☐	☐	☐
Wood	☐	☐	☐	☐

Boilerplate:

Rated Output Capacity (kBtuh)				
Number of Units:				
Seasonal Equipment Efficiency:				
AFUE	☐	☐	☐	☐
HSPF	☐	☐	☐	☐
% Efficiency	☐	☐	☐	☐
COP	☐	☐	☐	☐
Auxiliary Electric Use:				
Eae	☐	☐	☐	☐
kWh/year	☐	☐	☐	☐
Watts	☐	☐	☐	☐
Performance Adjustment (%):				
Load Served (%)-If not capacity weighted:				

Location of heating system:

Conditioned area	☐	☐	☐	☐
Uncond. basement/enclosed crawlspace	☐	☐	☐	☐
Garage or open crawlspace	☐	☐	☐	☐
Attic	☐	☐	☐	☐
Ambient	☐	☐	☐	☐

SPACE COOLING ONLY ☐Comments on reverse

PROJECT NAME OR ID 0

Cooling System Name:	**CS-1**	**CS-2**	**CS-3**	**CS-4**
Primary Cooling System:				
Secondary Cooling System:				
Thermostat Present:	Yes No	Yes No	Yes No	Yes No
T-stat Setting:				
Programmable T-stat:	Yes No	Yes No	Yes No	Yes No
System Type:				
Air conditioner	☐	☐	☐	☐
Central AC	☐	☐	☐	☐
Window/Wall AC	☐	☐	☐	☐
Air-source heat pump	☐	☐	☐	☐
Ground-source heat pump	☐	☐	☐	☐
Evaporative Cooler	☐	☐	☐	☐
None	☐	☐	☐	☐
Fuel Type: Electric	☐	☐	☐	☐
Other	☐	☐	☐	☐
Number of Same Units:				
Seasonal Equipment Efficiency Rating (SEER):				
Rated Output Capacity (kBtuh)				
Tonnage (optional):				
Sensible Heat Fraction (SHF):				
Desuperheater:	☐	☐	☐	☐
Performance Adjustment (%):				
Load Served (%)-If not capacity weighted:				
Location: Conditioned area	☐	☐	☐	☐
Uncond. basement/enclosed crawlspace	☐	☐	☐	☐
Garage or open crawlspace	☐	☐	☐	☐
Attic	☐	☐	☐	☐
Ambient	☐	☐	☐	☐

DUCT SYSTEM ☐Comments on reverse

PROJECT NAME OR ID 0

Location:

- ☐ Open crawlspace
- ☐ Enclosed crawlspace
- ☐ Conditioned crawlspace
- ☐ Unconditioned basement
- ☐ Conditioned basement
- ☐ Attic, under insulation
- ☐ Attic, exposed
- ☐ Conditioned space
- ☐ Wall with no top plate
- ☐ Garage

Duct Insulation R-Value: _____

Supply vs. Total Supply Area (%): _____

Return vs. Total Return Area (%): _____

Duct Leakage for Entire System:

- ☐ Observable leakage pathways
- ☐ No observable leakage
- ☐ Proposed leak free

AIR-SOURCE HEAT PUMP ☐Comments on reverse

PROJECT NAME OR ID 0 _____

Heating:
HSPF: _____

Cooling:
SEER: _____

Capacity at 47°F _____ kBtuh

Capacity: _____ kBtuh

Sensible Heat Fraction (SHF): _____

Performance Adjustment (%): _____

	Heating:	**Cooling:**
Load Served (%)-If not capacity weighted:	_____	_____

Location:

- ☐ Conditioned area
- ☐ Uncond. basement/enclosed crawlspace
- ☐ Garage or open crawlspace
- ☐ Attic
- ☐ Ambient

Number of Units: _____

WATER HEATING ONLY ☐Comments on reverse

PROJECT NAME OR ID 0

Water Heater Type:
- ☐ Conventional
- ☐ Instant Water Heater
- ☐ Heat Pump
- ☐ Ground-source heat pump
- ☐ Integrated
- ☐ None

Fuel Type:
- ☐ Nat. gas
- ☐ Propane
- ☐ Fuel Oil
- ☐ Electric
- ☐ Kerosene
- ☐ Wood

Number of Units: ☐

Water Tank Size (gallons): ☐

kBTUh Input: ☐

Extra Tank Insulation (R-Value): ☐

Recovery Efficiency: ☐

Performance Adjustment (%): ☐

Energy Factor (EF): ☐

Location:
- ☐ Conditioned area
- ☐ Uncond. basement/enclosed crawlspace
- ☐ Garage or open crawlspace
- ☐ Attic
- ☐ Ambient

FLOORPLAN

PROJECT NAME OR ID 0

APPENDIX D: BLENDED RATE SCHEDULE

CSD has established a prescriptive Utility Rate Schedule for use in single-family and small-multi-family energy audits using REM/Design. Benefits of using a blended rate schedule include:

- Single, utility-wide, blended rate simplifies analysis.
- Blended rates are based on statewide and utility-wide averages. These blended rates are 20% - %50 higher than the low income rate schedules commonly encountered in weatherization. This will allow more measures to meet SIR requirements when an energy audit is performed.

Choosing Electric and Natural Gas Rates

Table 1 below shows the blended electric rate to be used for the major electric utilities in California.

Table 1: Blended Electric Rate by Utility

UTILITY	BLENDED RATE ($/KWH)
PG&E	$ 0.152
SCE	$ 0.148
SDG&E	$ 0.157
LADWP	$ 0.129
SMUD	$ 0.115
BURBANK MUD	$ 0.143
GLENDALE WATER AND POWER	$ 0.143
PASADENA WATER AND POWER	$ 0.143
ALL OTHER UTILITIES	$ 0.147

Table 2 below shows the blended gas rate to be used for the major gas utilities in California.

Table 2: Blended Natural Gas Rate by Utility

UTILITY	BLENDED RATE ($/THERM)
PG&E	$ 1.08
SCG	$ 1.00
SDGE	$ 1.19
ALL OTHER UTILITIES	$ 1.01

As shown in Tables 1 and 2, specific blended rates are defined for the larger utilities in California. For the many smaller utilities not specifically listed in the tables, a statewide average rate is used. The blended rate factors in applicable monthly service charges.

To determine which electric rate should be used for a weatherization customer, look at the customer's bill to determine the utility company. Look up the rate defined for the company in Table 2. If the company is not explicitly identified in Table 2, use the "All Other Utilities" value.

To determine which natural gas rate should be used for a weatherization customer, look at the customer's bill to determine the natural gas utility company. Look up the rate defined for the company in Table 3. If the company is not explicitly identified in Table 3, use the "All Other Utilities" value.

For all other fuel types such as wood, propane, fuel oil and others, continue to estimate the fuel cost based on available billing data on a case-by-case basis.

APPENDIX E: MAXIMUM ALLOWABLE ESTIMATED USEFUL LIFE OF OPTIONAL MEASURES

The Estimated Useful Life values (EULs) in this section are suggested maximum useful lives of some common measures listed in the DOE Standard and DOE ARRA contract agreements, the DOE approved priority list, and "Appendix B: DOE Approved Measures (10CFR440, Appendix A)" of this document. If these values are exceeded justification should be provided and is subject to review. In the event a product is used with a shorter useful life than published below the actual useful life should be reported and used in SIR calculations.

SCOPE	APPLICATION	MEASURE	EUL
RESIDENTIAL	BUILDING ENVELOPE	COOL ROOF	15
RESIDENTIAL	BUILDING ENVELOPE	HIGH PERFORMANCE WINDOWS	20
RESIDENTIAL	BUILDING ENVELOPE	SUNSCREENS/SHADE SCREENS	10
RESIDENTIAL	BUILDING ENVELOPE	WINDOW FILM	10
RESIDENTIAL	BUILDING ENVELOPE	INSULATION (ATTIC/CEILING, WALL, FLOOR	30
RESIDENTIAL	HVAC	CLEAN CONDENSER COILS	3
RESIDENTIAL	HVAC	EVAPORATIVE COOLER	15
RESIDENTIAL	HVAC	HIGH EFFICIENCY AIR CONDITIONER (PACKAGE AND SPLIT SYSTEMS)	19
RESIDENTIAL	HVAC	HIGH EFFICIENCY FURNACE	19
RESIDENTIAL	HVAC	HIGH EFFICIENCY HEAT PUMP	19
RESIDENTIAL	HVAC	PROGRAMMABLE THERMOSTAT	15
RESIDENTIAL	HVAC	REFRIGERANT CHARGE	10
RESIDENTIAL	HVAC	ROOM AC - ENERGY STAR	14
RESIDENTIAL	HVAC	WALL HEATERS	15
RESIDENTIAL	INDOOR LIGHTING	CFL FIXTURES	16
RESIDENTIAL	INDOOR LIGHTING	CFL LAMPS - 10,000 HOUR	6
RESIDENTIAL	WATER HEATING	FAUCET AERATORS	9
RESIDENTIAL	WATER HEATING	HEAT PUMP WATER HEATER	10
RESIDENTIAL	WATER HEATING	HIGH EFFICIENCY ELECTRIC WATER HEATER	15
RESIDENTIAL	WATER HEATING	HIGH EFFICIENCY GAS WATER HEATER	13
RESIDENTIAL	WATER HEATING	INSTANTANEOUS WATER HEATER	20
RESIDENTIAL	WATER HEATING	LOW-FLOW SHOWERHEAD	10
RESIDENTIAL	WATER HEATING	PIPE INSULATION - ELECTRIC WATER HEATER	13
RESIDENTIAL	WATER HEATING	PIPE INSULATION - GAS WATER HEATER	13
RESIDENTIAL	WATER HEATING	SOLAR WATER HEATING	15

APPENDIX F: MANUAL CALCULATION OF MEASURE AND PACKAGE SIR

Measure SIR shall be calculated as the ratio of present value of the measure energy savings[9] compounded annually over the life of the measure divided by the total installed cost of the measure given by equation 1. When calculating measure SIR, all interactive effects of other measures in the improvement package shall be accounted for.

EQUATION 1: $SIR_{MEASURE}=S*((1+I)^N-1)/(I(1+I)^N)/C$

WHERE:

- S = 1ST YEAR SAVINGS OF MEASURE ($)
- I = DISCOUNT RATE (%)
- N = ESTIMATED USEFUL LIFE OF MEASURE (YEARS)
- C = INSTALLED COST OF MEASURE ($)

1. PACKAGE SIR

Package SIR shall be calculated as the ratio of present value of the package energy savings[10] compounded annually over the life of the package divided by the total installed cost of the package. Present value of package savings shall be calculated as the sum of the present value of individual measures divided by the cost of the package (the sum of the cost of all measures). The present value of an individual measure is shown in equation 2.

EQUATION 2: $PV_{MEASURE}=S*((1+I)^N-1)/(I(1+I)^N)$

WHERE:

- S = 1ST YEAR SAVINGS OF MEASURE
- I = DISCOUNT RATE (%)
- N = ESTIMATED USEFUL LIFE OF MEASURE

Discount rate shall be the lesser of 3% or the percentage increase in the Consumer Price Index (all items, United States city average) for the most recent calendar year completed[11]. Note: Energy escalation and inflation are not included in this calculation.

First-year savings of a single measure shall be calculated based on the energy usage profile of a building after all measures with higher SIR have been implemented. All savings calculations should be adjusted for "interaction between architectural and mechanical weatherization materials by using generally accepted engineering methods to decrease the estimated fuel cost savings for a lower priority weatherization material in light of fuel cost savings for a related higher priority weatherization material."[12]

Maximum Estimated Useful Life (EUL) of measure shall be determined using values published in Appendix E. In the event that a proposed EUL is greater than those listed in Appendix E justification must be provided in writing for review by CSD.

---

[9] Water savings or other non-energy savings shall not be included in the SIR Calculation
[10] Water savings or other non-energy savings shall not be included in the package SIR Calculation
[11] 10 CFR 440.18 Paragraph C.2.i
[12] 10 CFR 440.21, Paragraph E.1

Installed cost of measure should reflect the cost to install a measure as closely as possible. In cases where the cost to install a measure changes after approval of the scope of work due to extenuating circumstances, the updated cost must be reported and the measure will be reimbursed as follows:

1) If the updated cost is less than the reported cost, CSD will reimburse for the actual cost of the measures.
2) If the updated cost is greater than the reported cost, CSD will reimburse for the reported cost of measure.
    a. The full amount of the installed cost of the measure may be reimbursed if an updated SIR calculation reveals that the measure and package SIR remain greater than 1.0 based on the updated cost, and the package has not exhausted the available funds for the property.
3) If the updated cost is greater than the reported cost and the increased cost reduces the measure SIR<1.0, the additional funding source must be identified and must not be federal funds.

2. MEASURE BUY-DOWN

In some situations the owner of a rental property may contribute funds to "buy-down" the cost of a measure under the program. In the event that non-federal financial resources are leveraged to buy down a particular measure, the following criteria must be met[13]:

1) The SIR of the discounted measure must be 1.0 or greater when SIR is calculated as the ratio of present value of the measure savings compounded annually over the life of the measure divided by the WAP funds applied to the measure.
2) The package SIR shall be calculated as the ratio of present value of the package savings compounded annually over the life of the package divided by the total installed cost of the package including all WAP funds and all non-WAP funds. (Note: Point of Sale and other direct rebates may be used to lower the total cost of the measure, and this discount may be applied to the cost of the total package of measures.)

Discounted measures may not be installed before non-discounted measures and are only to be installed when all other available cost effective measures not requiring buy-down have been installed. In no case shall measures with higher SIRs be skipped or "leapfrogged" for measures with lower SIRs.

[13] Weatherization Program Notice 10-17; Effective Date: July, 26, 2010

APPENDIX G: JUSTIFICATION IMAGES

In order to better serve the agencies and gain full knowledge of the dwelling being reviewed, justification images are seen fit. These images are to portray the characteristics of the dwelling under review. This will help CSD better understand the REM inputs, check for accuracy and aid in answering questions which arise during the review process either internally or with the agency/auditor submitting the files.

NOTE: Justification Images must be submitted by agencies/auditors in TIER 1. All photos must be kept on file for any audited dwelling and at any time CSD may request justification images during the review process of a TIER 2 REM submittal.

Minimum Required Justification Images:

1. Front View of Dwelling: Must include view of all walls, windows and any shading including but not limited to trees, other buildings, etc.
2. Back View of Dwelling: Must include view of all walls, windows and any shading including but not limited to trees, other buildings, etc.
3. Right Side View of Dwelling: Must include view of all walls, windows and any shading including but not limited to trees, other buildings, etc.
4. Left Side View of Dwelling: Must include view of all walls, windows and any shading including but not limited to trees, other buildings, etc.
5. Close-up of window to determine window type, one picture required for each window type
6. Whole Attic View: Must include as much attic space as possible
7. Up-close view of attic insulation showing thickness of insulation or a visible R-value
8. Primary Heating Source: Should include nameplate if possible, must photograph the primary heating source for all units in a multi-family dwelling
9. Primary Cooling Source: Should include condenser coil and nameplate if possible, must photograph the primary cooling source for all units in a multi-family dwelling
10. Any unusual circumstance of the dwelling which may cause questions or concerns

APPENDIX H: MULTI-FAMILY INPUT COST SHEET

Since only one Improvement Analysis Report (IAR) is generated to reflect the entire building, individual units need to be tracked and costs allocated using another mechanism. Rather than submitting a separate IAR and building (.blg) file to CSD for each unit in the building, only a single whole building IAR and building (.blg) file will be submitted. In place of individual unit IARs, the service provider needs to include in the submittal a REM/Design Multi-Family Input Cost Sheet that includes the appropriate information allocated by unit.

The Multi-Family Input Cost Sheet is completed by the energy auditor/verifier concurrently with performing the audit. The sheet contains common measures associated with a REM/Design energy audit and includes areas for additional input for unique (to a building or unit) measures.[14]

[14] EP 11-06 REM/Design; Multi-Family

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 808 *(New 10/12/2011)*

REM/Design Multi-Family Input Sheet

Agency:

Building Name and Address(es):

		Measures Installed - Write in measure installed below												
Unit ID	Client Name	Windows & Number		Sliding Glass Door(s) & No.		Thermo-stat	Insulation & Type(s)							Unit Totals
							Attic	Floor	Wall					
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
														$ -
	Measure Totals	-	*0*	-	*0*	-	-	-	-	-	-	-	-	$ -

Cost of measures applicable to entire building ***may*** be spread across all units evenly.
Measure(s) specific to a unit are added as individual prices per measure in the correct cell.

Attachment G

CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES & DEVELOPMENT

MULTIFAMILY ENERGY AUDIT PROTOCOL

California Department of Community Services & Development

Attn: Energy & Environmental Services Division

PO Box 1947

Sacramento, CA 95812-1947

PREPARED BY:

RHA
program design+management

April 18, 2011

Table of Contents

I. OVERVIEW **1**

II. ON-SITE PROCESS **2**

1. Auditor Conduct Standards and Minimum Credentials **2**

2. Scheduling the Site Visit and Tenant Notification **2**

3. Site Visit Preparation **2**

4. Site Visit **3**
4.1 Project Interview(s) 3
4.2 Safety and Code Observations at the Site Visit 3
4.3 Visual Inspection and Diagnostic Testing Protocols 3
4.4 On-Site Unit Inspection Sampling Protocols 4
4.5 Renewable Energy 4
4.5.1 Solar Thermal Systems 4
4.5.2 Photovoltaic Solar Systems 4

III. ENERGY MODELING AND ANALYSIS PROCESS **5**

1. Energy Modeling Software Requirements: **5**
1.1 Treat Dwelling Criteria 5
1.2 Treat Policy 5
1.3 REM/Design Dwelling Criteria 5

2. Utility Rates: **6**

3. Model Calibration: **6**

4. Exceptional Calculations: **6**
4.1 Solar Thermal Performance Calculation 6
4.2 Photovoltaic Performance Calculation 7

5. Savings Investment Ratio (SIR) Calculations: **7**
5.1 Measure SIR 7
5.2 Package SIR 7
5.3 Measure Buy Down 8

APPENDIX A: ENERGY AUDIT REPORT FORMAT **9**

Section 1: Executive Summary **9**

Section 2: Existing Conditions **10**

Section 3: Evaluated Measures **11**

Section 4: Cost Benefit Analysis **12**

Section 5: Analysis 12

Section 6: Qualifications and Certifications 13

Section 7: Representation 13

APPENDIX B: MAX ALLOWABLE ESTIMATED USEFUL LIFE OF COMMON MEASURES 14

APPENDIX C: ENERGY AUDIT REVIEW 16

APPENDIX D: DOE APPROVED MEASURES (10CFR440, APPENDIX A) 19

I. OVERVIEW

The **CSD Weatherization Assistance Program (WAP) Audit Protocol** is a guidance document that defines the required criteria for the development of an energy audit designed to justify the cost effectiveness of energy efficient building retrofits under CSD's DOE WAP. This document specifically addresses the audit protocol for multifamily buildings, as defined by the CSD energy audit policy.

Underlying this protocol are the principles of transparency, consistency, and accountability: data contained in the audit must be transparent in terms of methodology of collection and calculation; report format and content must be presented in a consistent manner; and persons completing the audit must be accountable for their work by adhering to protocol requirements, maintaining professional certifications, and providing quality assurance measures.

A key objective of an energy audit is to identify feasible and relevant energy conservation measures (measures) that qualify for funding under CSD's DOE WAP program. In addition to identifying ways to reduce the energy burden, the audit process must also conduct evaluation of the integrity of the building to identify any deficiencies that could result in health and safety violations as defined by CSD's DOE WAP.

The outcome of the audit process is an assessment that clearly reports on:

- Building profile, configuration, and existing energy systems.
- Relevant health and safety checks and conditions.
- Current energy and hot water consumption profile.
- The proposed scope of work that clearly defines the measures and related costs being applied for funding.
- Any relevant supplemental funding sources and owners contributions.
- The calculated savings investment ratio of each measure including interactive effects of higher SIR measures.
- The total calculated reduction in energy or water usage for the recommended measures.
- The total package of measures SIR calculation.
- The energy modeling software file and assumptions used to make the projections.
- The methodology of data collection and relevant calculations.
- A representation that the Audit meets CSD's DOE WAP criteria, and audit protocol as defined herein.

The three main processes that constitute the CSD Weatherization Assistance Program Multifamily Audit Protocol standards include: 1) the on-site visit, 2) the energy modeling and energy/water savings analysis, and 3) report submittal. For energy audit purposes, DOE considers multi-family buildings to be those containing five dwelling units or more. Approved single-family energy audits can be used in buildings with up to four dwelling units. As approved by DOE on a case-by-case basis, certain single-family energy audits may be used in multi-family buildings containing up to 25 individually heated and cooled dwelling units.[1]

[1] Weatherization Program Notice 11-1; Effective Date: December 28, 2010

II. ON-SITE PROCESS

The purpose of the on-site visit is to collect all necessary information to conduct an appropriate energy, water, and health and safety analysis, including sufficient information to inform an energy model. The intent is to evaluate building envelope, assess building airflow, inventory HVAC and other energy systems equipment, identify ventilation systems, and perform diagnostic testing.

1. Auditor Conduct Standards and Minimum Credentials
   - All sub-grantees and their consultants shall conform to the CSD contracts, policies, and referenced standards. In addition the Auditor shall comply with applicable professional standards for ethics as defined by the Building Performance Institute Code of Ethics.
   - Auditors conducting audits shall have the minimum skills, credentials and experience required to effectively perform the audits. In the event that a single Auditor lacks all of the required skills, a qualified team may be assembled to complete the audit. At a minimum, Auditors shall be capable of effectively performing the following tasks:
     - Energy modeling (utilizing approved software).
     - Building assessment (identifying safety, code, durability and energy systems issues).
     - Diagnostic testing (see Attachment C).
     - Combustion appliance safety testing.
     - Feasibility analysis for the installation of energy efficient building improvements.
     - Construction cost estimating.
     - Financial analysis that generates investment grade level information/data.

2. Scheduling the Site Visit and Tenant Notification
   - Notification of tenants whose units will be inspected as part of the audit site visit will be the responsibility of sub-grantee, the property owner, or their representative.
   - The Auditor shall schedule the site visit(s) with the designated person(s) at a time that is convenient for the project contact person(s). The site visit should seek to cause minimal disruption to the tenants and neighbors at the project.

3. Site Visit Preparation

   To facilitate the on-site portion of the energy audit, it is recommended that the following items be addressed prior to arrival.
   - Review the Initial Building Assessment or similar screening report which establishes the building's eligibility to participate in the program, and verify that the accrual of benefits is sufficiently justified per Weatherization Program Notice 10-15A.[2]
   - Review 12-24 months of prior utility bills (including gas, electric, and water) to know annual utility cost by fuel type and seasonal variations.
   - Identify sampling of units representative of unit types, conditions, sizes and location.
   - Arrange access to units to be reviewed with occupant and provide necessary formal notification of inspection.
   - Verify availability of as-built drawings.

[2] Weatherization Program Notice 10-15A, Effective Date: April 8, 2010

- Review any historical improvement data available.
- Review O&M records, logs and protocols.
- Review existing mechanical equipment information as available.
- Verify availability of property representative with access to all portions of the property.
- Verify availability of O&M staff familiar with the building facilities and history.

4. Site Visit

The on-site energy audit shall be comprised of an in-person visit to the project by a qualified Auditor to complete the following tasks:

4.1 Project Interview(s)

The Auditor shall interview at least one of the following designated person(s) prior to or at the time of the site visit:

- Property Manager
- Maintenance Director or Maintenance Staff
- Owner or Owner Representative

The purpose of the interview(s) is to:

- Discuss project energy performance.
- Discuss tenant comfort, health and safety, and agree on a tenant synopsis for the site visit.
- Discuss any behavioral or other factors affecting energy performance (occupancy rates, tenant behavior patterns etc).
- Discuss operations and maintenance procedures.
- Address any other stakeholder questions or concerns.

The interview shall include questioning on operations and maintenance issues and will address the issues including but not limited to those in Attachment B. If any project team member wishes their responses to remain confidential, the Auditor shall respect those requests.

4.2 Safety and Code Observations at the Site Visit

Each site visit must address specific minimum health and safety checks. CSD Policies and Procedures and Health and Safety Plan, as well as other documents referenced in DOE contracts, apply to this policy. Where not referenced specifically, the following minimum health and safety checks shall be conducted and recorded in the Energy Audit Report or supporting documentation.

- Note likelihood of lead presence based on age of building and applicable prior inspections as relevant to EPA RRP Rule Asbestos Hazard Visual Inspection and testing (if necessary per CAL OSHA Title 8 Standards).
- Mold and Mildew Assessment per WPN 05-13
- Structural, electrical and mechanical systems visual inspections
- Combustion Appliance Safety Testing

4.3 Visual Inspection and Diagnostic Testing Protocols

[3] Weatherization Program Notice 05-1; Effective Date: November 12, 2004

The site visit shall involve visual inspections and diagnostic testing of the building envelope, HVAC, combustion appliances, and lighting systems. Minimum visual and diagnostic testing criteria are provided in the CSD Weatherization installation Standards (2010). These standards provide the minimum required testing procedures for Combustion Appliance Safety, Blower Door and Duct Leakage Testing.
Blower Door Sampling: Blower door testing shall be conducted on a representative sample number of units in accordance with CSD contracts, standards and policy documents.

Where the CSD standards do not address specific diagnostic tests applicable to the commercial systems, BPI standards for Multifamily Building Analyst, and CEC HERS II standards shall apply. Where conflicts exist between these two standards, the most conservative standard shall apply. BPI Multifamily Building Analyst Standards are available for download at BPI's website (www.bpi.org). The California Title 24 Energy Efficiency Standards are available for download at the Energy Commission's website at (http://www.energy.ca.gov/title24).
The Auditor shall identify any building information required to complete the energy and cost analysis. At a minimum, all relevant data listed in Appendix A shall be documented. This information will be used in the energy modeling and analysis phase of the audit.

4.4 On-Site Unit Inspection Sampling Protocols

At least one in seven of every unit type (defined as having same/similar floor plan), with representation from differing building floors and including all four building orientations, shall be inspected. In no case shall the inspection of units be less than 10% of total units. In accordance with Attachment A, Auditor will ensure that a discussion of unit sampling addresses special building circumstances that may result in an increased level of unit inspections and testing.

4.5 Renewable Energy

The on-site inspection may also examine, evaluate and propose recommendations for the incorporation of renewable energy opportunities including, but not limited to, solar hot water. In addition, any existing renewable energy systems (wind, solar thermal, solar PV, Fuel Cell, etc.) shall be included in the audit analysis.

4.5.1 Solar Thermal Systems

Proposed solar thermal systems shall be specified in accordance with the California Solar Initiative Thermal Program Handbook[4] if a CSI Thermal Rebate is included in the Analysis. In all cases, proposed systems shall comply with SRCC OG-300[5] and 2009 Uniform Solar Energy Code[6].

4.5.2 Photovoltaic Solar Systems

Existing photovoltaic systems shall be fully documented in EAR. NOTE: Currently Solar PV systems are not eligible for funding under the CA Weatherization Assistance Program.

[4] California Solar Initiative Thermal Program Handbook Rev 4.0

[5] Solar Rating and Certification Corporation Standard OG-300

[6] Uniform Solar Energy Code, 2009

III. ENERGY MODELING AND ANALYSIS PROCESS[7]

An energy model of the building's pre- and post-retrofit performance shall be completed using building plans, initial inspection data, and diagnostic data collected during the on-site visits. TREAT energy modeling is used to estimate annual energy consumption and energy cost savings of most potential energy conservation measures for multifamily dwellings as defined in Section III, 1.1. All energy and cost savings results from the TREAT model must be verified against know conditions and usage profiles existing at the residence and against industry standard values. If results are not as generally expected and are not defensible based on information from the site visit, the TREAT model should be modified until expected results are obtained.
All major assumptions used to develop the energy model and analysis must be clearly stated in the final report. Reporting emphasis should be placed on the assumptions that have the most impact on estimated energy savings. Occasionally, some building features may be inaccessible, such as crawl space insulation values. When certain building features can not be physically verified, values from Table R3-50, Default Assumptions for Existing Buildings in the 2008 Title 24 Alternative Calculation Method manual shall be used as default conditions in the energy model and analysis.

1. Energy Modeling Software Requirements:

Two energy modeling software platforms have been approved by DOE for use in the CA WAP program. REM/Design (Architectural Energy Corporation) is approved for single family homes and small multifamily dwellings, and TREAT (PSD Consulting) is approved for use in larger multifamily dwellings. The energy audit software policy is provided below.

1.1 Treat Dwelling Criteria

As defined in the policy, a TREAT audit is to be used for the following building types:

- Multi-Family residential buildings 4 stories and above.
- Multi-Family residential buildings 3 stories or fewer with shared HVAC systems and/or water heating systems.
- Multi-Family residential buildings containing 25 or more units.
- Multi-Family residential buildings not meeting the REM/Design criteria in section 1.3.

1.2 Treat Policy

For residential buildings meeting the above criteria, a "whole-building" energy audit and TREAT software based energy simulation must be conducted to determine the feasibility and cost effectiveness of all available measures.
For high-rise projects wishing to apply a priority list-only approach to individual unit weatherization measures, justification must be submitted in writing to CSD describing the reason a TREAT-based energy audit is not feasible.

1.3 REM/Design Dwelling Criteria

As defined in the policy, REM/Design audit is to be used for the following building types:

- Single-family dwellings up to 4-plexes,
- Mobile homes, and
- Low-rise multifamily buildings:

[7] An addendum to the energy audit report may be prepared to fulfill the programmatic requirements of CSD's DOE WAP if necessary.

- Containing five to 25 dwelling units,
- Having 3 stories or fewer,
- Individually metered,
- Where the unit is heated and cooled independently, and
- Where the unit has its own hot water heater.

The REM/Design energy audit process requires a physical inspection of the home, specific diagnostic tests, and proper data input into the software program. An energy profile of the existing home is compared to a set of improvements recommended for installation. Each measure is then evaluated and a report is generated with the cost-effectiveness of each measure listed by SIR (Savings to Investment Ratio).

2. Utility Rates:

The energy consultant shall model the building using the current local utility rate schedules as verified during review of utility bills. When possible, tiered rate structures, demand charges, time of use charges and usage fees shall be included in the utility rate determination. At a minimum, energy cost shall be calculated as the total average cost of energy for the prior year based on billing data. Energy cost savings calculated outside of the modeling software shall be based on average utility and demand rates based on provided utility bills.

3. Model Calibration:

The energy model for all buildings shall be calibrated to actual utility billing data based on mastered metered data or aggregation of individual unit energy bills. When individual unit energy bills are used billing data should be collected from as many units as possible. Modeled baseline energy consumption shall be calibrated to monthly utility bills for a minimum of twelve months. The intent is to qualify the energy model by demonstrating similarity to the metered energy usage over a 12 month time frame.

- The energy model estimates of electricity and natural gas should calibrate to actual monthly consumption to ±10%.
- TMY 30 year average weather data can be used in lieu of actual year weather, which may be difficult to obtain.
- Any adjustments made to the building description inputs used to calibrate the simulated building to actual energy usage shall be justified with explicit, transparent information and documented in this section of the audit report.
- In the event that the building is served by more than one meter, the bills for those meters shall be aggregated against the building calculated consumption as a whole.

4. Exceptional Calculations:

Energy conservation measures not directly modeled with TREAT or REM/Design energy modeling software can be calculated outside of the program provided that generally accepted engineering calculations and methodologies are used. Interactive effects must be accounted for in exceptional calculations. The methodologies, assumptions, and constants used in the exceptional calculations must be clearly documented in the final report. Sources of deemed savings must be referenced.

4.1 Solar Thermal Performance Calculation

Solar thermal calculations may be performed using the CSI-Thermal Program Multifamily/Commercial calculator available at https://www.csithermal.com/calculator/commercial/ using the methods outlined herein. If the CSI Thermal calculator is not available, Auditors shall present an alternative calculation methodology to CSD for review.

4.2 Photovoltaic Performance Calculation

Actual metered performance data shall be used to account for offset of photovoltaic production of existing solar systems during analysis. If measured data is not available, grid tied photovoltaic performance calculations may be performed using PV Watts V.2[6] which can be initiated at this website. http://mapserve3.nrel.gov/PVWatts_Viewer/index.html. *NOTE: Currently Solar PV systems are not eligible for funding under the CA Weatherization Assistance Program*.

5. Savings Investment Ratio (SIR) Calculations:

When using TREAT or REM/Design, the measure and package SIR may be calculated automatically by the software. In the event that a proposed measure requires exceptional calculations, the measure and package SIRs shall be calculated using the methods outlined below.

5.1 Measure SIR

Measure SIR shall be calculated as the ratio of present value of the measure energy savings[8] compounded annually over the life of the measure divided by the total installed cost of the measure given by equation 1. When calculating measure SIR, all interactive effects of other measures in the improvement package shall be accounted for.

$$SIR_{measure}=S*((1+i)^n-1)/(i(1+i)^n)/C \qquad eq.\ 1$$

Where:

- S = 1st year savings of measure ($)
- i = discount rate (%)
- n = estimated useful life of measure (years)
- C = installed cost of measure ($)

5.2 Package SIR

Package SIR shall be calculated as the ratio of present value of the package energy savings[9] compounded annually over the life of the package divided by the total installed cost of the package. Present value of package savings shall be calculated as the sum of the present value of individual measures divided by the cost of the package (the sum of the cost of all measures). The present value of an individual measure is shown in equation 2.

$$PV_{measure}=S*((1+i)^n-1)/(i(1+i)^n) \qquad eq.\ 2$$

Where:

- S = 1st year savings of measure
- i = discount rate (%)
- n = estimated useful life of measure

Discount rate used for present value calculations shall be the lesser of 3% or the percentage increase in the Consumer Price Index (all items, United States city average) for the most recent calendar year completed before the beginning of the year for which the determination is being made[10]. *Note: Energy escalation and inflation are not included in this calculation.*

First year savings of a single measure shall be calculated based on the energy usage profile of a building after all measures with higher SIR have been implemented. All savings

[8] Water savings or other non energy savings shall not be included in the SIR Calculation.

[9] Water savings or other non energy savings shall not be included in the package SIR Calculation.

[10] 10 CFR 440.18 Paragraph C.2.i

calculations should be adjusted for "interaction between architectural and mechanical weatherization materials by using generally accepted engineering methods to decrease the estimated fuel cost savings for a lower priority weatherization material in light of fuel cost savings for a related higher priority weatherization material."[11]

Maximum Estimated Useful Life of measure shall be determined using values published in Appendix B. In the event that a proposed EUL is greater than those listed in Appendix B justification must be provided for review by CSD.

Installed cost of measure should reflect the cost to install a measure as closely as possible. In cases where the cost to install a measure changes after approval of the scope of work due to extenuating circumstances, the updated cost must be reported and the measure will be reimbursed as follows:

1) If the updated cost is less than the reported cost, CSD will reimburse for the actual cost of the measures.
2) If the updated cost is greater than the reported cost, CSD will reimburse for the reported cost of measure. The full amount of the installed cost of the measure may be reimbursed if an updated SIR calculation reveals that the measure and package SIR remain greater than 1.0 based on the updated cost, and the package has not exhausted the available funds for the property. [12]

3) If the updated cost is greater than the reported cost and the increased cost reduces the measure SIR<1.0, the additional funding source must be identified and must not be federal funds.

5.3 Measure Buy Down

In the event that non-federal financial resources are leveraged to buy down a particular measure, the following criteria must be met[13]:

1) The SIR of the discounted measure must be 1.0 or greater when SIR is calculated as the ratio of present value of the measure savings compounded annually over the life of the measure divided by the WAP funds applied to the measure.
2) The package SIR shall be calculated as the ratio of present value of the package savings compounded annually over the life of the package divided by the total installed cost of the package including all WAP funds and all non-WAP funds[14].
3) Discounted measures may not be installed before non-discounted measures and are only to be installed when all other available cost effective measures not requiring buy-down have been installed. In no case shall measures with higher SIRs be skipped or "leapfrogged" for measures with lower SIRs.

[11] 10 CFR 440.21, Paragraph E.1

[12] Note: Point of Sale and other direct rebates may be used to lower the total cost of the measure, and this discount may be applied to the cost of the total package of measures.

[13] Weatherization Program Notice 10-17; Effective Date: July, 26, 2010

APPENDIX A: ENERGY AUDIT REPORT REQUIREMENTS

This format is provided as a suggested template to aid in Energy Audit Report Generation and identifies the scope and level of detail that should be included in all reports. In many cases an energy audit will have applications in other programs with different requirements than those of CSD's DOE WAP. It is not CSD's intention to create extra work by requiring that an energy audit omit information pertinent to other programs. Programmatic concerns not addressed in the energy audit may be addressed in an addendum to the report that summarizes the relevant results of the energy audit with regard to the programmatic conditions of CSD's DOE WAP. Sections of the Audit Report Format below that are deemed programmatic in nature have been italicized. This information must be submitted to CSD as part of the submittal package, but is not necessarily part of an energy audit report prepared by an energy consultant.

ENERGY AUDIT REPORT FORMAT

Section 1: Executive Summary

The purpose of the executive summary is to summarize the main points of the project. When possible, labeled tables and graphs should be used to present data.

1) General Overview
    a) Project Description
        i) Location, building configurations
        ii) Building sizes, # units and common areas description, utilities, energy cost summaries
        iii) Statement of eligibility to verify eligibility of the property
            (1) Income Eligibility Criteria
                a. Property appears on HUD/DOE or USDA/DOE eligibility list[2] or;
                b. at least 66% of the units in the building are income qualified
            (2) Accrual of benefits
                a. Measures will result in reduction of tenants' energy costs or;
                b. Demonstrated benefit to tenant as outlined in "Weatherization Program Notice 10-15A"[2] if tenant energy cost not directly paid by tenant
            (3) Maximum Allowable Benefit for Property
                a. Identification of maximum allowable benefit for property based on number of eligible units per-unit funding limit
        iv) Summary of site visit (dates, interviews, project team)
    b) Description of any special analysis or conditions
    c) Historical energy use summary
    d) Recommended measures summary
        i) Name of measure
        ii) Cost of measure
        iii) Recommended improvement package documentation arranged in descending order of SIR
            (1) Total Cost
            (2) Total SIR
            (3) Total DOE Contribution

(4) Total Owner Contribution
(5) Total Contribution of non-federal funds used to raise SIR

e) Measures evaluated but not recommended
   i) Description
   ii) Cost
   iii) SIR
   iv) Documentation of non-feasibility (already installed, not feasible, etc.)

f) Total and measure specific projected energy use summary after proposed measure package implementation

Section 2: Existing Conditions

The narrative section of the report should guide the reviewer through the steps taken to conduct the energy audit and analysis. When applicable, labeled photos should be included in the appropriate sections.

1) Existing Building Conditions
   a) Site layout
   b) Number of units
   c) Occupancy
   d) Building construction types
   e) Number of stories
   f) Year built
   g) Total building area identified by use (residential community/common, commercial)
   h) History of previous retrofits or rehabs
   i) Other significant building features
   j) Photos as needed to document existing building conditions.
2) Existing Building Components and Energy Systems
   a) Building Envelope
      i) Wall construction and insulation
      ii) Roof construction and insulation
      iii) Types of windows found on each face of building
      iv) Photos as relevant
   b) Common Area Lighting
      i) Fixture type
      ii) Lamp and ballast type
      iii) # of lamps/fixture
      iv) Fixture wattage
      v) # of fixtures
      vi) Spaces served
      vii) Lighting control
      viii) Annual/daily hours used
      ix) Photos as relevant
   c) Common Area Lighting
      i) Fixture type
      ii) Lamp and ballast type
      iii) # of lamps/fixture
      iv) Fixture wattage
      v) # of fixtures
      vi) Spaces served

vii) Lighting control
viii) Annual/daily hours used
ix) Photos as relevant

d) Water Fixtures
   i) Common Area Fixtures
      (1) List all fixtures using hot water (common lavatories, laundry, kitchen, etc.)
      (2) Water usage for each fixtures as relevant
      (3) Code requirements for each fixture
      (4) Photos as relevant
   ii) Unit Fixtures
      (1) List all fixtures using hot water (lavatory, laundry, kitchen)
      (2) Water usage for each fixtures as relevant
      (3) Code requirements for each fixture
      (4) Photos as relevant

e) HVAC Systems
   i) Heating System Description
      (1) Make, model, age, capacity and measured characteristics of all heating equipment
      (2) Characterization of distribution system
      (3) Photos of relevant equipment
   ii) Cooling System Description
      (1) Make, model, age, capacity and measured characteristics of all cooling equipment
      (2) Characterization of distribution system
      (3) Photos of relevant equipment
   iii) Water Heating Description
      (1) Make, model, age, capacity and measured characteristics of all water heating equipment
      (2) Characterization of distribution system
      (3) Photos of relevant equipment

f) Forced ventilation Systems
      (1) Make, model, age, capacity and measured characteristics of all heating equipment
      (2) Ability of ventilation system to provide adequate ventilation
      (3) Photos of relevant equipment

g) Annual Utility Bill Breakdown
      (1) Monthly utilities breakdown for all applicable fuels

Section 3: Evaluated Measures

1) Recommended Energy Efficiency Measures
   a) Short narrative of each recommended energy efficiency measure should include all replacement measure parameters.
   b) Recommended replacement specifications
   c) Installed Cost summary of measure
   d) Projected annual monetary savings
   e) SIR
2) Energy Efficiency Measures Not Recommended
   a) Short narrative of each measured investigated and reasons why it is not recommended.

3) Recommended Health and Safety Measures
   a) Short narrative of recommended health and safety measures including description, frequency, and cost.

Section 4: Cost Benefit Analysis

1) Table of all reviewed measures in order of decreasing SIR.
   a) Baseline measure description
   b) Improvement measure description
   c) Total cost of measure
   d) Portion of non-federal buy down funds for each measure
   e) Baseline measure fuel usage
   f) Fuel usage of proposed measure
   g) Measure savings
   h) Measure EUL
   i) Measure SIR
2) Package Cost Analysis
   a) Total cost of Package
   b) Portion of non-federal buy down funds for each measure
   c) Baseline Package fuel usage
   d) Fuel usage of proposed Package
   e) Package SIR

Section 5: Analysis

1) Analysis Overview
   a) Overview of energy simulation tool(s) used and order of operations.
   b) Summary of the approach, and detailed calculations, used in any exceptional calculations.
   c) True up of base model energy consumption to measured usage.
2) Utility Analysis and End Use Breakdown
   a) Describe the applicable end uses for each type of fuel at the project and show a breakdown of the annual energy usage and energy cost by fuel type. The Auditor shall:
      i) Graph energy usage for each fuel type for a minimum of 12 months.
      ii) Review the utility rate structure to determine if it seems appropriate for the project.
      iii) Make a recommendation for further investigation if the Auditor finds that the rate structure does not match the utility data.
3) Source of Information
   a) Briefly describe all sources of information used to inform the analysis, including:
      i) Source and scope of utility billing data supplied to the Auditor including the data source, the duration in months that the data covers, and whether the Auditor received copies of the actual utility bills or electronic interval data.
      ii) Construction cost information used in economic analysis.
      iii) Whether building plans or site verified data were used in the analysis.
      iv) Any discrepancies between plans and verified conditions.
      v) Utility rate and schedules.
      vi) Source of deemed energy savings.
4) Energy Model Inputs and Assumptions
   a) State any assumptions used when analyzing energy and water utility data. Reference the Building Data Form as well as the building simulation program input file.

5) Full Documentation Energy Model Inputs and Outputs
   a) TREAT Reports
      i) Actual Model to Billing Report
      ii) Base Building Data Report
      iii) Model Energy Comparison Report
      iv) Base Load Reports
         (1) Base Building
         (2) Recommended Package
      v) Improvement Package Report

Section 6: Qualifications and Certifications

1) Names and qualifications (as applicable) of parties responsible for following:
   a. Project Management
   b. Energy Auditing and Analysis
   c. Building Assessment (if different from Auditing team)
   d. Construction Cost Estimating (if different from above)

Section 7: Representation

Include a representation from an officer or owner of the firm conducting the Audit that the Audit meets the [Program Name] Audit Specifications without exception and that the final Audit Report has been reviewed for quality assurance purposes by a principal or officer of the firm.

APPENDIX B: MAX ALLOWABLE ESTIMATED USEFUL LIFE OF COMMON MEASURES

The EULs in this section are suggested maximum useful lives of measures. If theses values are exceeded, justification should be provided and is subject to review. In the event a product is used with a shorter useful life than published below the actual useful life should be reported and used in SIR calculations.

SCOPE	APPLICATION	MEASURE	EUL
Non-Residential	Building Envelope	Cool Roof	15
Non-Residential	Building Envelope	Roof/Ceiling Insulation	30
Non-Residential	HVAC - Boilers	High Efficiency Boiler	20
Non-Residential	HVAC - Chillers	High Efficiency Chillers	20
Non-Residential	HVAC - Miscellaneous	Clean Condenser Coils	3
Non-Residential	HVAC - Miscellaneous	Duct Insulation Material	30
Non-Residential	HVAC - Miscellaneous	Duct Sealing - Single Zone Package System	15
Non-Residential	HVAC - Miscellaneous	High Efficiency Furnace	19
Non-Residential	HVAC - Miscellaneous	High Efficiency Water Source Heat Pump	15
Non-Residential	HVAC - Miscellaneous	Hydronic Heat Pump Variable Flow Valve	10
Non-Residential	HVAC - Miscellaneous	Refrigerant Charge	8
Non-Residential	HVAC - Miscellaneous	Setback Programmable Thermostats	15
Non-Residential	HVAC - Miscellaneous	Time Clocks (heating/cooling)	11
Non-Residential	HVAC - Miscellaneous	VSD Supply Fan Motors	12
Non-Residential	HVAC - Other Central Plant	Cooling Tower for Packaged System	15
Non-Residential	HVAC - Split/Package	Air Conditioners / Heat Pumps (split and unitary)	15
Non-Residential	Motors	HVAC Fan Motors	13
Non-Residential	Motors	Premium-Efficiency Motors	15
Non-Residential	Motors	Water Loop Pumps	13
Non-Residential	Outdoor Lighting	HID Lighting - High Pressure Sodium	16
Non-Residential	Outdoor Lighting	HID Lighting - Metal Halide	16
Non-Residential	Outdoor Lighting	HID Lighting (T-5)	11
Non-Residential	Refrigeration	Insulation for Bare Suction Lines	11
Non-Residential	Refrigeration	Retro-commissioning	10
Non-Residential	Water Heating	Circulation Pump Time clock Retrofit	15
Non-Residential	Water Heating	High Efficiency Central Water Heater	15
Non-Residential	Water Heating	High Efficiency Commercial Storage Water Heater	15
Non-Residential	Water Heating	Instantaneous Water Heater	19
Non-Residential	Water Heating	Pipe Insulation - Electric Water Heater	11
Non-Residential	Water Heating	Pipe Insulation - Gas Water Heater	11
Non-Residential	Water Heating	Water Heater Tank Wrap	7
Residential	Appliances	High Efficiency Refrigerator	15
Residential	Building Envelope	Cool Roof	15
Residential	Building Envelope	Duct Sealing	18
Residential	Building Envelope	Floor Insulation	30

SCOPE	APPLICATION	MEASURE	EUL
Residential	Building Envelope	High Performance Windows	20
Residential	Building Envelope	Weather-stripping	11
Residential	Building Envelope	Sunscreens	10
Residential	Building Envelope	Roof/Ceiling Insulation	30
Residential	Building Envelope	Wall Insulation	30
Residential	HVAC	Thermostatic Radiator Valve (TRV)	8
Residential	HVAC	Constant Airflow Regulator	10
Residential	HVAC	Clean Condenser Coils	3
Residential	HVAC	Evaporative Cooler	15
Residential	HVAC	High Efficiency Air Conditioner (package and split systems)	15
Residential	HVAC	High Efficiency Furnace	19
Residential	HVAC	High Efficiency Heat Pump	15
Residential	HVAC	Programmable Thermostat	15
Residential	HVAC	Refrigerant Charge	10
Residential	HVAC	Room AC - Energy Star	14
Residential	Indoor Lighting	CFL Fixtures	16
Residential	Indoor Lighting	CFL Lamps - 10,000 Hour	7
Residential	Indoor Lighting	CFL Lamps - 12,000 Hour	8
Residential	Indoor Lighting	CFL Lamps - 6,000 Hour	4
Residential	Indoor Lighting	CFL Lamps - 8,000 Hour	5
Residential	Indoor Lighting	Linear Fluorescents - MF Common Area	10
Residential	Miscellaneous	0.3 W LED Night Light	11
Residential	Outdoor Lighting	CFL Fixtures	16
Residential	Outdoor Lighting	CFL Lamps - 10,000 Hour	4
Residential	Outdoor Lighting	CFL Lamps - 12,000 Hour	5
Residential	Outdoor Lighting	CFL Lamps - 6,000 Hour	3
Residential	Outdoor Lighting	CFL Lamps - 8,000 Hour	4
Residential	Outdoor Lighting	HID Lighting	16
Residential	Water Heating	Faucet Aerators	9
Residential	Water Heating	Heat Pump Water Heater	10
Residential	Water Heating	High Efficiency Electric Water Heater	15
Residential	Water Heating	High Efficiency Gas Water Heater	13
Residential	Water Heating	Instantaneous Water Heater	20
Residential	Water Heating	Low-Flow Showerhead	10
Residential	Water Heating	Pipe Insulation - Electric Water Heater	13
Residential	Water Heating	Pipe Insulation - Gas Water Heater	13
Residential	Water Heating	Solar Water Heating	15

APPENDIX C: ENERGY AUDIT REVIEW

I. Overview

A key objective of an energy audit under CSD's DOE WAP program is to identify feasible and relevant energy conservation measures (measures) that qualify for funding under the program. In addition to identifying ways to reduce the energy burden, the audit process must also conduct evaluation of the integrity of the building to identify any deficiencies that could result in health and safety violations as defined by CSD's DOE WAP.

A portion of the audits submitted by agencies to CSD will be reviewed by a third party to ensure that the audit process, analysis and report meet the requirements of the Multifamily Audit Protocol. This document describes the review process used evaluate the submitted reports.

II. Sampling Rate

100% of energy audits shall be submitted and reviewed by CSD for accuracy and completeness. In addition a sample of energy audits shall be reviewed by a technical reviewer under the following criteria:

1) 100% audits submitted by new agencies or performed by new consultants to an agency shall be reviewed by a technical reviewer until a minimum of three consecutive audits are approved as submitted (without need for modification and resubmission).
2) 25% of audits submitted by every agency shall be reviewed. If agency uses multiple consultants to perform audits, 25% of audits submitted by every consultant for that agency shall be reviewed.
3) At the discretion of CSD, agencies and/or consultants providing consistent and accurate audits may apply in writing for a lower sampling rate of one in seven audits.
4) CSD may, at its sole discretion, make specific requirements or changes to the number and percentage of quality assurance reviews conducted for any agency or consultant.

III. Review Process

The following table below shall be used by the reviewer to document satisfactory completion of the requirements. In the event that a section is not satisfactory, notes will be made describing the nature of the delinquency, and submitted to the sub-grantee for review and follow up.

Submittal Package	Compliant?	
	Yes	No
Includes completed EAR report		
Includes TREAT files		
General Overview		
Report is complete and organized		
Executive summary includes recommended measure package organized in descending SIR		
Measure package cost and SIR clearly identified		
Health and safety measures clearly identified		
Consistent information used throughout report		
Report demonstrates property eligibility and WAP funding available based on number of qualified units		
Site Evaluation		
Includes names of Auditors and names of site representatives interviewed		
Building size and occupancy reported		
Sufficient description building envelope including windows, walls, roof, etc.		
At least 1/7 of each unit type inspected		
At least 10% of total units inspected		
Comprehensive inventory of existing lighting, water heating, space heating and space cooling equipment, etc		
Comprehensive inventory of existing hot water fixtures (lavatories, showers, sinks, bathtubs, water closets)		
Sufficient detail of existing heating equipment		
Sufficient detail of existing cooling equipment		
Sufficient detail of existing water heating equipment		
Sufficient detail of existing ventilation equipment		
CAS testing performed per CSD general policy		
Environmental Hazard testing performed per CSD general heath and safety policy		
12-24 months of utility bills included to verify fuel usage and cost		

Analysis		
TREAT analysis used for calculations		
TREAT input values consistent with data collected during site visit		
Sample calculations provided for analysis performed outside of TREAT		
Projected energy usage true-up to utility bills performed		
Projected energy usage is reasonable with respect to industry standards		
All savings calculations are reasonable and within industry standard ranges (*Note: When savings calculations are outside of expected ranges, TREAT input files may be reviewed or other means used to verify accuracy and to verify reasonable assumptions resulting in reasonable saving)*		
All measure EULs are within industry standard ranges		
All SIR calculations executed properly		
Recommended Measures		
All measures listed in measure package allowed measures		
Total requested funds does not exceed average maximum per unit		
Total package SIR>1.0 regardless of funding source		
Verifiable source of any non-federal funds used to implement package		
All measures described with enough detail to justify measure feasibility		

IV. Feedback and Resubmission

Customer feedback will be provided by way of an Energy Audit Review and Approval Form that will indicate whether an audit was accepted as is or needs further improvements. In the event that an audit is not approved, a copy of the review form and a detailed explanation of the section(s) needing improvement will be provided to the agency for correction and re-submittal. All audits returned for correction will be reviewed upon re-submittal to the extent deemed necessary by the reviewer.

APPENDIX D: DOE APPROVED MEASURES (10CFR440, APPENDIX A)

APPENDIX A—STANDARDS FOR WEATHERIZATION MATERIALS

If the standards listed in this appendix conflict with those required by current local codes, the local code shall have precedence and a copy of the applicable section will be retained with procurement records.

The following Government standards are produced by the Consumer Product Safety Commission and are published in title 16, Code of Federal Regulations:

Thermal Insulating Materials for Building Elements Including Walls, Floors, Ceilings, Attics, and Roofs Insulation—organic fiber—conformance to Interim Safety Standard in 16 CFR part 1209;

Fire Safety Requirements for Thermal Insulating Materials According to Insulation Use—Attic Floor—insulation materials intended for exposed use in attic floors shall be capable of meeting the same flammability requirements given for cellulose insulation in 16 CFR part 1209;

Enclosed spaces—insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting smoldering combustion requirements in 16 CFR part 1209.

The following standards which are not otherwise set forth in part 440 are incorporated by reference and made part of part 440. The following standards have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated as they exist on January 3, 2002 and a notice of any change in these materials will be published in the FEDERAL REGISTER. The standards incorporated by reference are available for inspection at the Office of the Federal Register Information Center, 800 North Capitol Street, Suite 700, Washington, DC 20001.

The standards incorporated by reference in part 440 can be obtained from the following sources:

Air Conditioning and Refrigeration Institute, 4301 N. Fairfax Drive, Suite 425, Arlington, VA 22203; (703) 524-8800.

American Architectural Manufacturers Association, 1827 Walden Office Square, Suite 104, Schaumburg, Illinois 60173-4268; (847) 303-5664.

American Gas Association, 400 N. Capitol Street, NW, Washington, DC 20001; (202) 824-7000.

American National Standards Institute, Inc., 11 West 42nd Street, New York, NY 10036; (212) 642-4900.

American Society of Mechanical Engineers, Three Park Avenue, New York, NY 10016-5990; (212) 591-7722.

American Society for Testing and Materials, 100 Barr Harbor Drive, West Conshohocken, PA 19428-2959; (610) 832-9585.

Association of Home Appliance Manufacturers, 1111 19th Street, NW, Suite 402, Washington DC, 20036; (202) 872-5955.

Federal Specifications, General Services Administration, General Services Administration, Federal Supply Service, Office of the CIO and Marketing Division, Room 800, 1941 Jefferson Davis Hwy., Arlington, VA 22202; (703) 305-6288.

Gas Appliance Manufacturers Association, 2107 Wilson Boulevard, Suite 600, Arlington, Virginia 22201; (703) 525-7060.

National Electrical Manufacturers Association, 1300 North 17th Street, Suite 1847, Rosslyn, VA 22209; (703) 841-3200.

National Fire Protection Association, 1 Batterymarch Park, P.O. Box 9101, Quincy, MA 02269-9101; (617) 770-3000.

Sheet Metal and Air Conditioning Contractors Association, 4201 Lafayette Center Drive, Chantilly, Virginia 20151-1209; (703) 803-2980.

Solar Rating and Certification Corporation, c/o FSEC, 1679 Clearlake Road, Cocoa, FL 32922-5703; (321) 638-1537.

Steel Door Institute, 30200 Detroit Road, Cleveland, OH 44145-1967; (440) 899-0010.

Steel Window Institute, 1300 Sumner Avenue, Cleveland, OH 44115-2851; (216) 241-7333.

Tubular Exchanger Manufacturers Association, 25 North Broadway, Tarrytown, NY 10591; (914) 322-0040.

Underwriters Laboratories, Inc., 333 Pfingsten Road, Northbrook, IL 60062-2096; (847) 272-8800.

Window & Door Manufacturers Association, 1400 East Touhy Avenue, Suite 470, Des Plaines, IL 60018; (800) 223-2301.

More information regarding the standards in this reference can be obtained from the following sources:

Environmental Protection Agency, 401 M Street, NW, Washington, DC 20006; (202) 554-1080.

National Institute of Standards and Technology, U.S. Department of Commerce, Gaithersburg, MD 20899; (301) 975-2000.

Weatherization Assistance Program, Office of Building Technology Assistance, Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW, EE-42, Washington, DC 20585-0121; (202) 586-4074.

THERMAL INSULATING MATERIALS FOR BUILDING ELEMENTS INCLUDING WALLS, FLOORS, CEILINGS, ATTICS, AND ROOFS

[Standards for conformance]

Insulation--mineral fiber:	
Blanket insulation	ASTM[1] C665-98.
Roof insulation board	ASTM C726-00a.
Loose-fill insulation	ASTM C764-99.
Insulation–mineral cellular:	
Vermiculite loose-fill insulation	ASTM C516-80 (1996)e1.
Perlite loose-fill insulation .	ASTM C549-81 (1995)e1.
Cellular glass insulation block	ASTM C552-00.
Perlite insulation board . . .	ASTM C728-97.
Insulation–organic fiber:	
Cellulosic fiber insulating board	ASTM C208-95.
Cellulose loose-fill insulation	ASTM C739-00.
Cellulose wet-spray insulation	ASTM C1149-97.
Insulation–organic cellular:	
Preformed block-type polystyrene insulation	ASTM C578-95.
Rigid preformed polyurethane insulation board	ASTM C591-00.
Polyurethane or polyisocyanurate insulation board face with aluminum foil on both sides	FS[2] HH-I-1972/1 (1981).
Polyurethane or polyisocyanurate insulation board face with felt on both sides	FS HH-I-1972/2 (1981) and Amendment 1, October 3, 1985).
Insulation–composite boards:	
Mineral fiber insulation board	ASTM C726-00a.
Perlite board	ASTM C728-97.
Gypsum board and polyurethane or poliso-cyanurate composite board	FS HH-I-1972/4 (1981).

[1] ASTM indicates American Society for Testing and Materials.

[2] FS indicates Federal Specifications.

THERMAL INSULATING MATERIALS FOR BUILDING ELEMENTS INCLUDING WALLS, FLOORS, CEILINGS, ATTICS, AND ROOFS–Continued

[Standards for conformance]

Materials used as a patch to reduce infiltration through the building envelope	Commercially available.

THERMAL INSULATING MATERIALS FOR PIPES, DUCTS, AND EQUIPMENT SUCH AS BOILERS AND FURNACES

[Standards for conformance]

Insulation–mineral fiber:	
Preformed pipe insulation .	ASTM[1] C547-00.
Blanket and felt insulation (industrial type)	ASTM C553-00.
Blanket insulation and blanket type pipe insulation (metal-mesh covered, industrial type)	ASTM C592-00.
Block and board insulation	ASTM C612-00.
Spray applied mineral fiber thermal and sound absorbing insulation	ASTM C1014-99ae1.
High-temperature fiber blanket insulation	ASTM C892-00.
Duct work insulation	ASTM C1290-00.
Insulation–mineral cellular:	
Calcium silicate block and pipe insulation	ASTM C533-95.
Cellular glass insulation . .	ASTM C552-00.
Expanded perlite block and pipe insulation	ASTM C610-99.
Insulation–organic cellular:	
Preformed flexible elastomeric cellular insulation in sheet and tubular form	ASTM C534-99.
Unfaced preformed rigid cellular polyurethane insulation	ASTM C591-00.
Insulation skirting	Commercially available.

[1] ASTM indicates American Society for Testing and Materials.

Fire Safety Requirements for Insulating Materials According to Insulation Use

[Standards for conformance]

Attic floor	Insulation materials intended for exposed use in attic floors shall be capable of meeting the same smoldering combustion requirements given for cellulose insulation in ASTM[1] C739-00.
Enclosed space	Insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting the same smoldering combustion requirements given for cellulose insulation in ASTM C739-00.
Exposed interior walls and ceilings	Insulation materials, including those with combustible facings, which remain exposed and serve as wall or ceiling interior finish, shall have a flame spread classification not to exceed 150 (per ASTM E84-00a).
Exterior envelope walls and roofs	Exterior envelope walls and roofs containing thermal insulation shall meet applicable local government building code requirements for the complete wall or roof assembly.
Pipes, ducts, and equipment	Insulation materials intended for use on pipes, ducts, and equipment shall be capable of meeting a flame spread classification not to exceed 150 (per ASTM E84-00a).

[1] ASTM indicates American Society for Testing and Materials.

Storm Windows

[Standards for conformance]

Storm windows:	
All storm windows . .	AAMA/NWWDA[1] 101/I.S. 2-97.
Aluminum frame storm windows	AAMA[2] 1002.10-93.
Rigid vinyl frame storm windows	ASTM[3] D4726-00.
Frameless plastic glazing storm	Required minimum thickness for windows is 6 mil (0.006 inches).
Movable insulation systems for windows	Commercially available.

[1] AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

[2] AAMA indicates American Architectural Manufacturers Association.

[3] ASTM indicates American Society for Testing and Materials.

Replacement Windows

[Standards for conformance]

Replacement windows:	
All windows	AAMA/NWWDA[1] 101/I.S. 2-97.
Steel frame windows	Steel Window Institute recommended specifications for steel windows, 1990.
Rigid vinyl frame windows	ASTM[2] D4726-00.

[1] AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

[2] ASTM indicates American Society for Testing and Materials.

Weather
Vapor re

Items to
ventil

[1] ASTM
Materials.

Heat exc
to-water
water

Heat exc
gas-f

[1] ASME
Engineers.
[2] The h
vent conne
appliances
and not eq
[3] ANSI/
Institute/Un

STORM DOORS

[Standards for conformance]

Storm doors:	
All storm (glass) doors	AAMA/NWWDA[1] 101/I.S. 2-97.
Aluminum frame storm doors	AAMA[2] 1102.7-89.
Sliding glass storm doors	AAMA 1002.10-93.
Rigid vinyl storm doors .	ASTM[3] D3678-97 and D4726-00..
Vestibules:	
Materials to construct vestibules	Commercially available.

[1] AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).
[2] AAMA indicates American Architectural Manufacturers Association.
[3] ASTM indicates American Society for Testing and Materials.

REPLACEMENT DOORS

[Standards for conformance]

Replacement doors:	
All replacement doors	AAMA/NWWDA[1] 101/I.S. 2-97.
Steel doors	ANSI[2] A250.8-98.
Wood doors:	
Flush doors	ANSI/NWWDA[3] I.S. 1-97 (Amendment, exterior door provisions).
Stile and rail doors	NWWDA[4] I.S. 6-97.

[1] AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).
[2] ANSI indicates American National Standards Institute.
[3] ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association (now the Window & Door Manufacturers Association).
[4] NWWDA indicates National Wood Window & Door Association (now the Window & Door Manufacturers Association).

CAULKS AND SEALANTS

[Standards for conformance]

Caulks and sealants:	
Glazing compounds for metal sash	ASTM[1] C669-00.
Oil and resin base caulks	ASTM C570-00.
Acrylic (solvent types) sealants	ASTM C920-98e1.
Butyl rubber sealants	FS[2] Commercial Item Description A-A-272 (6/7/95).
Chlorosulfonated polyethylene sealants	ASTM C920-98e1.
Latex sealing compounds	ASTM C834-00e1.
Elastomeric joint sealants (normally considered to include polysulfide, polyurethane, and silicone)	ASTM C920-98e1.
Preformed gaskets and sealing materials	ASTM C509-00.
Duct sealing mastic	UL[3] 181A-M, Second Edition, 1994 and UL 181B-M, First Edition, 1995.

[1] ASTM indicates American Society for Testing and Materials.
[2] FS indicates Federal Specifications.
[3] UL indicates Underwriters Laboratories.

WATER HEATER MODIFICATIONS

[Standards for conformance]

Insulate tank and distribution piping	(See insulation section of this appendix)
Install heat traps on inlet and outlet piping	Applicable local plumbing code.
Install/replace water heater heating elements	Listed by UL[1].
Electric, freeze-prevention tape for pipes	Listed by UL.
Install stack damper, gas-fueled	ANSI[2] Z21.66-1996, including Exhibits A & B, and ANSI Z223.1-1999 (same as NFPA[3] 54-1999).
Install stack damper, oil-fueled	UL 17, Third Edition, 1994, NFPA 31-2001, NFPA 211-2000 (same as ANSI A52.1), and ANSI/NFPA 70-1999 (same as IEEE[4] National Electrical Code).
Install water flow modifiers	Commercially available.

[1] UL indicates Underwriters Laboratories.
[2] ANSI indicates American National Standards Institute.
[3] NFPA indicates National Fire Prevention Association.
[4] IEEE indicates Institute of Electrical and Electronics Engineers.

REPLACEMENT WATER HEATERS

[Standards for conformance]

Electric (resistance) water heaters	10 CFR[1] 430 and UL[3] 174.
Heat pump water heaters	UL 1995, Second Edition, 1995. Electrical components to be listed by UL.
Gas water heaters:	
Rated ≤75 kBtu/hr . .	10 CFR 430 and ANSI[4] Z21.10.1-1998.
Rated ≥75 kBtu/hr . .	ANSI Z21.10.3-1998.
Oil water heaters	UL 732, Fifth Edition, 1995.

[1] CFR indicates Code of Federal Regulations.
[2] UL indicates Underwriters Laboratories.
[3] ANSI indicates American National Standards Institute.

SOLAR WATER HEATING SYSTEMS

[Standards for conformance]

Solar water heating systems including forced circulation, integral collector storage, thermo-syphon, and self-pumping systems	System must be certified per SRCC[1] OG 300, July 16, 1998.

[1] SRCC indicates Solar Rating and Certification Corporation.

WASTE HEAT RECOVERY DEVICES

[Standards for conformance]

Desuperheater/water heaters	ARI[1] 470-1995 and UL 1995, Second Edition, 1995.
Condensing heat exchangers	Commercially available components installed per manufacturers' specifications. NFPA[2] 211-2000 (same as ANSI A52.1) may apply in certain instances. See also the Heat Exchangers section of this appendix.
Heat pump water heating heat recovery systems	UL 1995, Second Edition, 1995. Electrical components to be listed by UL.
Energy recovery equipment	Energy Systems Analysis and Management, 1997 (SMACNA[3]).

[1] ARI indicates Air Conditioning and Refrigeration Institute.
[2] NFPA indicates National Fire Prevention Association.
[3] SMACNA denotes Sheet Metal and Air Conditioning Contractors' National Association.

Install gas conversation burners	ANSI[1] Z21.8-1994 (for gas- or oil-fired systems), ANSI Z21.17-1998, and ANSI Z223.1-1999 (same as NFPA 54-1999). AGA[2] Laboratories Certification Seal.
Replace oil burner	UL[3] 296, Ninth Edition, 1994 and NFPA 31-2001.
Install burners (oil/gas)	ANSI Z223.1-1999 for gas equipment and NFPA[4] 31-2001 for oil equipment.
Re-adjust boiler water temperature or install automatic boiler temperature reset control	ASME[5] CSD-1-1998, ANSI Z223.1-1999, and NFPA 31-2001.
Replace/modify boilers	ASME Boiler and Pressure Vessel Code, 1998, Section II, IV, V, VI, VIII, IX, and X. Boilers must be Hydronics Institute Division of GAMA equipment.
Clean heat exchanger, adjust burner air shutter(s), check smoke no. on oil-fueled equipment. Check operation of pump(s) and replacement filters.	Per manufacturers' instructions.
Replace combustion chambers	Refractory linings may be required for conversions.

BOILER REPAIR AND MODIFICATIONS/EFFICIENCY IMPROVEMENTS—Continued

[Standards for conformance]

Replace heat ex-changers, tubes	Protection from flame contact with conversion burners by refractory shield.
Install/replace thermo-static radiator valves	Commercially available. One-pipe steam systems require air vents on each radiator; see manufacturers' requirements.
Install boiler duty cycle control system	Commercially available. ANSI/NFPA 70-1999 (same as IEEE National Electrical Code) and local electrical code provisions for wiring.

[1] ANSI indicates American National Standards Institute.
[2] AGA indicates American Gas Association.
[3] UL indicates Underwriters Laboratories.
[4] NFPA indicates National Fire Prevention Association.
[5] ASME indicates American Society for Mechanical Engineers.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS

[Standards for conformance]

Install duct insulation . .	ASTM[1] C612-00 (see insulation sections of this appendix).
Reduce Input of burner; derate gas-fueled equipment	Local utility company and procedures if applicable for gas-fueled furnaces and ANSI[2] Z223.1-1999 (same as NFPA[3] 54-1999) including Appendix H.
Repair/replace oil-fired equipment	NFPA 31-2001.
Replace combustion chamber in oil-fired furnaces or boilers	NFPA 31-2001.
Clean heat exchanger and adjust burner; adjust air shutter and check CO_2 and stack temperature. Clean or replace air filter on forced air furnace	ANSI Z223.1-1999 (same as NFPA 54-1999) including Appendix H.
Install vent dampers for gas-fueled heating systems	Applicable sections of ANSI Z223.1-1999 (same as NFPA 54-1999) including Appendix H, I, J, and K. ANSI Z21.66-1996 and Exhibits A&B for electrically operated dampers.
Install vent dampers for oil-fueled heating systems	Applicable sections of NFPA 31-2001 for installation and in conformance with UL[4] 17, Third Edition, 1994.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS—Continued

[Standards for conformance]

Reduce excess combustion air:	
A: Reduce vent connector size of gas-fueled appliances	ANSI Z223.1-1999 (same as NFPA 54-1999) part 9 and Appendices G & H.
B: Adjust barometric draft regulator for oil fuels	NFPA 31-2001 and per furnace and boiler manufacturers' instructions.
Replace constant burning pilot with electric ignition device on gas-fueled furnaces or boilers	ANSI Z21.71-1993.
Readjust fan switch on forced air gas-or oil-fueled furnaces	Applicable sections and Appendix H of ANSI Z223.1-1999 (same as NFPA 54-1999) for gas furnaces and NFPA 31-2001 for oil furnaces.
Replace burners	See install burners (oil/gas).
Install/replace duct furnaces (gas)	ANSI Z223.1-1999 (same as NFPA 54-1999).
Install/replace heat pumps	ARI[5] 210/240-1994. UL 1995, Second Edition, 1995.
Replace air diffusers, intakes, registers, and grilles	Commercially available.
Install/replace warm air heating metal ducts	UL 181, Ninth Edition 1996, including UL 181A, Second Edition 1994 and 181B, First Edition, 1995.
Filter alarm units	Commercially available.

[1] ASTM indicates American Society for Testing and Materials.

[2] ANSI indicates American National Standards Institute.

[3] NFPA indicates National Fire Prevention Association.

[4] UL indicates Underwriters Laboratories.

[5] ARI indicates Air Conditioning and Refrigeration Institute.

REPLACEMENT FURNACES, BOILERS, AND WOOD STOVES

[Standards for conformance]

Chimneys, fireplaces, vents and solid fuel burning appliances	NFPA[1] 211-2000 (same as ANSI[2] A52.1).
Gas-fired furnaces	ANSI Z21.47-1998 and ANSI Z223.1-1999 (same as NFPA 54-1999).
Oil-fired furnaces	UL[3] 727, Eighth Edition, 1994 and NFPA 31-2001.
Liquefied petroleum gas storage	NFPA 58-2001.
Ventilation fans:	
Including electric attic, ceiling, and whole-house fans	UL 507, Ninth Edition, 1999.

[1] NFPA indicates National Fire Prevention Association.
[2] ANSI indicates American National Standards Institute.
[3] UL indicates Underwriters Laboratories.

AIR CONDITIONERS AND COOLING EQUIPMENT

[Standards for conformance]

Air conditioners:	
Central air conditioners	ARI[1] 210/240-1994.
Room size units	ANSI/AHAM[2] RAC 1-1992.
Other cooling equipment:	
Including evaporative coolers, heat pumps, and other equipment	UL[3] 1995, Second Edition, 1995.

[1] ARI indicates Air Conditioning and Refrigeration Institute.
[2] ANSI/AHAM indicates American National Standards Institute/Association of Home Appliance Manufacturers.
[3] UL indicates Underwriters Laboratories.

SCREENS, WINDOW FILMS, AND REFLECTIVE MATERIALS

[Standards for conformance]

Insect screens	Commercially available.
Window films	Commercially available.
Shade screens:	
Fiberglass shade screens	Commercially available.
Polyester shade screens	Commercially available.
Rigid awnings:	
Wood rigid awnings	Commercially available.
Metal rigid awnings .	Commercially available.
Louver systems:	
Wood louver awnings	Commercially available.
Metal louver awnings	Commercially available.
Industrial-grade white paint used as a heat-reflective measure on roofs, awnings, window louvers, doors, and exterior duct work (exposed)	Commercially available.

REFRIGERATORS

[Standards for conformance]

Refrigerator/freezers (does not include freezer-only units)	UL[1] 250. Replaced units must be disposed of properly per Clean Air Act 1990, Section 608, as amended by 40 CFR[2] 82, May 14, 1993.

[1] UL indicates Underwriters Laboratories.
[2] CFR indicates Code of Federal Regulations.

FLUORESCENT LAMPS AND FIXTURES

[Standards for conformance]

Compact fluorescent lamps	ANSI/UL[1] 542, Seventh Edition, February 6, 1997 and UL 1993, First Edition, 1993.
Fluorescent lighting fixtures	UL 1570, Fourth Edition, 1995.

[1] ANSI/UL indicates American National Standards Institute/Underwriters Laboratories.

California Energy Commission Climate Zones

by County and City

City	Zone
Alameda County	
Altamont	12
Calaveras Reservoir	12/4
Dublin	12
Lake Del Valley	12
Livermore	12
Midway	12
Corral Hollow	12
Pleasanton	12
San Antonio Reservoir	12
Sunol	12
All remaining locations	3
Alpine County	
All locations	16
Amador County	
Bear River	16
Cooks Station	16
Pioneer	16
Plasse	16
Salt Springs Reservoir	16
Silver Lake	16
All remaining locations	12
Butte County	
Big Bend	16
Brush Creek	16
Butte Meadows	16
Clipper Mills	16
Feather Falls	16
Feather River (Middle Fork)	16
Feather River (North Fork)	16
Forbestown	16
Inskip	16
Jonesville	16
Lomo	16
Pulga	16
Stirling City	16
All remaining locations	11
Calaveras County	
Arnold	16
Dorrington	16
Ganns	16
Hathaway Pines	16
Salt Springs Reservoir	16
Stanislaus	16
All remaining locations	12
Colusa County	
All locations	11
Contra Costa County	
El Cerrito	3
El Sobrante	3

City	Zone
Contra Costa County	
Hercules	3
Pinole	3
Richmond	3
Rodeo	3
San Pablo	3
Tassajara	2
Vine Hill	3
All remaining locations	12
Del Norte County	
Crescent City	1
Elk Valley	16
Fort Dick	1
Gasquet	16
Gordon Mountain	16
Hiouchi	1
Horse Flat	16
Idlewild	1
Klamath	1
Klamath Glen	1
Lake Earl	1
Patrick Creek	16
Point Saint George	1
Red Mountain	16
Requa	1
Siskiyou Mountains	16
Smith River	1
Smith River (Middle Fork)	16
Smith River (North Fork)	16
Smith River (South Fork)	16
El Dorado County	
Aukum	12
Cameron Park	12
Camino	12
Clarksville	12
Coloma	12
Cool	12
Diamond Springs	12
El Dorado	12
El Dorado Hills	12
Garden Valley	12
Georgetown	12
Greenwood	12
Kelsey	12
Latrobe	12
Lotus	12
Outingdale	12
Pilot Hill	12
Placerville	12
Rescue	12
Shingle Springs	12
Smithflat	12
Somerset	12
All remaining 23 locations	16

City	Zone
Fresno County	
Big Creek	16
Cedar Grove	16
Courtright Reservoir	16
Dinkey Creek	16
Florence Lake	16
Hume	16
Huntington Lake	16
Kalser Peak	16
Kings River (Middle Fork)	16
Kings River (North Fork)	16
Kings River (South Fork)	16
Lakeshore	16
Mammoth Pool Reservoir	16
Meadow Lakes	16
Mono Hot Springs	16
Mount Darwin	16
Mount Pinchot	16
Pine Ridge	16
Pinehurst	16
Roaring River	16
Shaver Lake	16
Spanish Mountain	16
Thomas A. Edison Lake	16
Trimmer	16
Vermilion Valley Dam	16
Wishin Reservoir	16
All remaining locations	13
Glenn County	
Black Butte	16
All remaining locations	11
Humboldt County	
Alderpoint	2
Bear Buttes	2
Benbow	2
Blocksburg	2
Briceland	2
Bridgeville	2
Dinsmores	2
Eel Rock	2
Fort Seward	2
Garberville	2
Harris	2
Hoopa	2
Mail Ridge	2
McCann	2
Miranda	2
Mount Lassic	2
Myers Flat	2
Orleans	2
Phillipsville	2
Redway	2
Richardson Grove	2
Salmon Mountain	16

California Energy Commission Climate Zones

by County and City

Humboldt County	
Sequoia	2
Weitchpec	2
All remaining locations	1

Imperial County	
Midwell Well	14
All remaining locations	15

Inyo County	
Airport Lake	14
Amargosa Range	14
Amargosa River	14
Ballarat	14
Bennetts Well	14
Death Valley	14
Death Valley Junction	14
Death Valley Wash	14
Echo Canyon	14
Franklin Well	14
Funeral Park	14
Furnace Creek Wash	14
Greenwater Range	14
Midway Well	14
Miller Spring	14
Nopah Range	14
Owlshead Mountains	14
Pahrump Valley	14
Panamint Springs	14
Panamint Valley	14
Rhodes Wash	14
Ryan	14
Sheep Canyon	14
Shoshone	14
Slate Range	14
Stovepipe Wells	14
Tecopa	14
Valley Wells	14
Wingate Wash	14
Cottonwood Canyon	14/16
All remaining locations	16

Kern County	
Actis	14
Alta Sierra	16
Bissell	14
Bodfish	16
Boron	14
Breckenridge Mountain	16
Brown	14
Buckhorn Lake	14
Caliente	16
California City	14
Cantil	14
China Lake	14
Claraville	16

Kern County	
Cuddy Canyon	16
Edwards Air Force Base	14
El Paso Mountains	14
Frazier Park	16
Freeman Junction	14
Fremont Valley	14
Garlock	14
Glennville	16
Gold Canyon	16
Golden Hills	16
Greenhorn Mountains	16
Havilah	16
Hillcrest Center	16
Indian Wells Valley	14
Inyokern	14
Isabella Reservoir	16
Johannesburg	14
Keene	16
Kern River (South Fork)	16
Kernville	16
Koehn Lake	14
Lake Isabella	16
Last Chance Canyon	14
Lebec	16
Little Dixie Wash	14
Lone Tree Canyon	16
Loraine	16
Miracle Hot Springs	16
Mojave	14
Monolith	16
Neuralia	14
North Edwards	14
Onyx	16
Randsburg	14
Ridgecrest	14
Rogers Lake	14
Rosamond	14
Rosamond Lake	14
Saltdale	14
Searles	14
Tehachapi	16
Tehachapi Mountains	16
Tehachapi Pass	16
Walker Pass	16
Weldon	16
Willow Springs	14
Wofford Heights	16
All remaining locations	13

Kings County	
All locations	13

Lake County	
All locations	2

Lassen County	
All locations	16

Los Angeles County	
Acton	14
Aliso Canyon	16
Alondra Park	6
Antelope Center	14
Antelope Valley	14
Artesia	8
Avalon	6
Avocado Heights	16
Bell	8
Bell Gardens	8
Bellflower	8
Big Pines	16
Big Rock Wash	14
Big Tujungs Canyon	16
Carson	6
Caswell	16
Cerritos	8
Commerce	8
Compton	8
Cornell	6
Cudahy	8
Culver City	8
Del Aire	6
Desert View Highland	14
Devils Canyon	16
Dominguez	8
Downey	8
East Compton	8
East Pasadena	16
El Segundo	6
Elizabeth Lake Canyon	16
Fairmont	14
Florence	8
Gardena	8
Gorman	16
Green Valley	16
Harbor City	8
Hawaiian Gardens	8
Hawthorne	8
Hermosa Beach	6
Hi Vista	14
Hidden Springs	16
Huntington Park	8
Inglewood	8
Juniper Hills	14
Lake Los Angeles	14
Lakewood	8
Lancaster	14
Lawndale	8
Lennox	8
Leona Valley	14
Little Rock Wash 4	14

California Energy Commission Climate Zones

by County and City

Los Angeles County	
Littlerock	14
Llano	14
Lomita	6
Long Beach	6/8
Los Angeles	8/9
Lynwood	8
Malibu	6
Manhattan Beach	6
Maywood	8
Monte Nido	6
Mount San Antonio	16
Mount Wilson	16
Norwalk	8
Pacific Palisades	6
Pacoima	16
Pacoima Canyon	16
Palmdale AP	14
Palos Verdes Estates	6
Paramount	8
Pearblossom	14
Pearland	14
Point Dume	6
Point Fermin	6
Pyramid Lake	16
Quartz Hill	14
Rancho Palos Verdes	6
Redman	14
Redondo Beach	6
Rolling Hills	6
Rolling Hills Estates	6
Rosamond Lake	14
San Antonio Canyon	16
San Clemente Island	6
San Gabriel Mountains	16
San Gabriel River (West For	16
San Pedro	6
San Pedro Bay	6
Sandberg	16
Santa Catalina Island	6
Santa Monica	6
Santa Monica Bay	6
Santa Monica Mountains	6
Saugus	6
Signal Hill	6
South Gate	8
Tarzana	6
Tejon Pass	16
Tejon Rancho	16
Three Points	14
Topanga	6
Topanga Beach	6
Topanga Canyon	6
Torrance	6
U.S.N. Facility, San Clement	6
U.S.N. Shipyard, Long Beac	6

Los Angeles County	
Valyermo	14
Venice	6
Vernon	8
Vincent	14
Walnut Park	8
West Athens	8
West Carson	6
West Compton	8
Westmont	8
Willow Brook	8
Willowbrook	8
Wilsona Gardens	14
Zuma Canyon	6
All remaining 99 locations	9

Madera County	
Bass Lake	16
Mammoth Pool Reservoir	16
Mount Lyell	16
North Fork	16
San Joaquin River (E Fork)	16
San Joaquin River (M Fork)	16
San Joaquin River (N Fork)	16
San Joaquin River (S Fork)	16
San Joaquin River (W Fork)	16
Sierra Nevada	16
Wishin	16
All remaining locations	13

Marin County	
Black Point	2
Burdell	2
Corte Madera	2
Fairfax	2
Forest Knolls	2
Hamilton A.F.B.	2
Kentfield	2
Larkspur	2
Nicasio	2
Novato	2
Petaluma River	2
Ross	2
San Anselmo	2
San Quentin	2
San Rafael	2
Santa Venetia	2
Woodacre	2
All remaining 26 locations	3

Mariposa County	
Buck Meadows	16
El Portal	16
Fish Camp	16
Half Dome	16
Merced River (South Fork)	16

Mariposa County	
Midpines	16
Pilot Peak	16
Usona	13
Wawona	16
Yosemite Valley	16
Yosemite Village	16
All remaining 15 locations	12

Mendocino County	
Albion	1
Anchor Bay	1
Black Butte River	16
Branscomb	1
Bruhel Point	1
Caspar	1
Cleone	1
Comptche	1
Elk	1
Etsel Ridge	16
Fort Bragg	1
Gualala	1
Gualala River (South Fork)	1
Hales Grove	1
Inglenook	1
Leech Lake Mountain	16
Leggett	1
Little River	1
Manchester	1
Mendocino	1
Point Arena	1
Ranch	1
Rockport	1
Westport	1
All remaining 34 locations	2

Merced County	
All locations	12

Modoc County	
All locations	16

Mono County	
All locations	16

Monterey County	
Alisal	3
Alisal Slough	3
Aromas	3
Bolsa Knolls	3
Carmel Highlands	3
Carmel Valley	3
Carmel-by-the-Sea	3
Castroville	3
Chualar	3
Del Rey Oaks	3

California Energy Commission Climate Zones

by County and City

Monterey County	
Elkhorn Slough	3
Fort Ord	3
Gonzales	3
Gorda	3
Lucia	3
Marina	3
Monterey	3
Monterey Bay	3
Moss Landing	3
Notleys Landing	3
Pacific Grove	3
Pebble Beach	3
Point Lobos	3
Point Sur	3
Posts	3
Prunedale	3
Salinas	3
Sand City	3
Seaside	3
Soledad	3
Spence	3
Spreckels	3
U.S.N. Facility, Point Sur	3
All remaining 35 locations	4

Napa County	
Berryessa Peak	2/12
All remaining locations	2

Nevada County	
Cedar Ridge remaining	11
Chicago Park remaining	11
French Corral remaining	11
Grass Valley remaining	11
Higgins Corner remaining	11
La Barr remaining	11
Nevada City remaining	11
North Columbia remaining	11
North San Juan remaining	11
Penn Valley remaining	11
Pilot Peak remaining	11
Rough and Ready remaining	11
All remaining 16 locations	16

Orange County	
Capistrano Beach	6
Corona Del Mar	6
Costa Mesa	6
Dana Point	6
Emerald Bay	6
Fountain Valley	6
Huntington Beach	6
John Wayne AP	6
La Habra	9
Laguna Hills	6/8

Orange County	
Laguna Niguel	6
Newport Bay	6
Newport Beach	6
San Clemente	6
San Juan Capistrano	6
Seal Beach	6
South Laguna	6
Sunset Beach	6
Surfside	6
U.S.N. Weapons Station, Se	6
Westminster	6
All remaining 32 locations	8

Placer County	
Applegate	11
Auburn	11
Bowman	11
Clipper Gap	11
Colfax	11
Elders Corner	11
Granite Bay	11
Hidden Valley	11
Lincoln	11
Loomis	11
Meadow Vista	11
Newcastle	11
North Auburn	11
Penryn	11
Rocklin	11
Roseville	11
Sheridan	11
Weimar	11
Whitney	11
All remaining 27 locations	16

Plumas County	
All locations	16

Riverside County	
Anza	16
Banning	15
Big Maria Mountains	15
Blythe	15
Box Canyon	15
Cabazon	15
Cahuilla	16
Cathedral City	15
Chiriaco Summit	14
Chuckwalla Mountains	14
Chuckwalla Valley	15
Coachella	15
Coachella Valley	15
Deep Canyon	15
Desert Beach	15
Desert Center	15

Riverside County	
Desert Hot Springs	15
Durmid	15
Eagle Mountain	14
Eagle Mountains	14
Ford Dry Lake	15
Fried Liver Wash	14
Hayfield	14
Hayfield Lake	14
Idyllwild	16
Inca	15
Indian Wells	15
Indio	15
La Quinta	15
Martinez Canyon	15
McCoy Wash	15
Mecca	15
Mesaville	15
Midland	15
Mount Center	16
Mount San Jacinto	16
Nicholls Warm Springs	15
Nightingale	16
North Palm Springs	15
Oasis	15
Palen Lake	15
Palen Mountains	15
Palm Canyon	15
Palm Desert	15
Palm Desert Country	15
Palm Springs	15
Palo Verde Valley	15
Pinkham Wash	15
Pinto Mountains	14
Pinto Wash	14
Porcupine Wash	14
Rancho Mirage	15
Rice Valley	15
Ripley	15
Salton Sea	15
San Gorgonio Pass	15
San Gorgonio River	15
San Jacinto Mountains	15
Santa Rosa Mountains	15
Smoke Tree Wash	14
Thermal	15
Thomas Mountain	16
Thousand Palms	15
White Water	15
All remaining 48 locations	10

Sacramento County	
All locations	12

San Benito County	
All locations	4

California Energy Commission Climate Zones

by County and City

San Bernardino County	
Alta Loma	10
Amboy	15
Bagdad	15
Big Bear City	16
Big Bear Lake	16
Black Meadow Landing	15
Bloomington	10
Bristol Lake	15
Cadiz	15
Cadiz Lake	15
Cadiz Valley	15
Cajon Junction	16
Cajon Summit	16
Camp Angelus	16
Chambless	15
Chino	10
Chino Hills	10
Chubbuck	15
Colorado River	15
Colton	10
Crestline	16
Cross Roads	15
Cucamonga	10
Danby Lake	15
Del Rosa	16
Devore	10
Earp	15
East Highlands	10
Fawnskin	16
Fontana	10
Forest Falls	16
Grand Terrace	10
Green Valley Lake	16
Grommet	15
Havasu Lake	15
Highland	10
Java	15
Lake Arrowhead	16
Lake Havasu	15
Loma Linda	10
Los Serranos	10
Lytle Creek	16
Mentone	10
Milligan	15
Montclair	10
Mount Baldy	16
Mount San Antonio	16
Muscoy	10
Needles	15
Norton AFB	10
Ontario	10
Parker Dam	15
Prado Flood Control Basin	10
Rancho Cucamonga	10
Redlands	10

San Bernardino County	
Rialto	10
Rice	15
Running Springs	16
Saltmarsh	15
Saltus	15
San Bernardino	10
San Bernardino Mountains	16
San Gorgonio Mountain	16
Seven Oaks	16
Silverwood Lake	16
Upland	10
Vidal	15
Vidal Junction	15
Vidal Valley	15
Vidal Wash	15
Whipple Mountains	15
Whitewater River (North Forl	16
Whitewater River (South For	16
Wrightwood	16
Yucaipa	10
All remaining 138 locations	14

San Diego County	
Agua Caliente Springs	15
Alpine	10
Barona	10
Barrett Dam	10
Barrett Junction	10
Bonsall	10
Borrego	15
Borrego Springs	15
Bostonia	10
Boulevard	14
Camp Pendleton	10
Campo	14
Casa de Oro, Mount Helix	10
Cuyamaca Peak	14
De Luz	10
Del Dios	10
Descanso	14
Dos Cabezas	15
Duguynos Canyon	15
Dulzura	10
El Cajon	10
El Capitan Reservoir	14
Encanto	10
Escondido	10
Fallbrook	10
Fernbrook	10
Guatay	14
Harbinson Canyon	10
Henshaw Dam	10
Jacumba	14
Jacumba Mountains	15
Jamul	10

San Diego County	
Julian	14
Lake Henshaw	14
Lakeside	10
Live Oak Springs	14
Loert Otay Reservoir	10
Lower Bear River Reservoir	16
Margarita Peak	10
Mesa Grande	14
Monument Peak	14
Morena VIllage	14
Mount Laguna	14
Oak Grove	14
Ocotillo Wells	15
Pala	10
Palomar Mountain	14
Pauma Valley	10
Pine Valley	14
Potrero	14
Poway Valley	10
Rainbow	10
Ramona	10
Ranchita	14
Rancho Bernardo	10
Rancho San Diego	10
San Diego	7/10
San Felipe	14
San Luis Rey River (West F	14
San Marcos	10
San Mateo Canyon	10
San Onofre Canyon	10
San Pasqual	10
San Vicente Reservoir	10
San Ysidro Mountains	10
Santa Ysabel	14
Santee	10
Spring Valley	10
Suncrest	10
Sweetwater Reservoir	10
Tecate	14
Tierra del Sol	14
Valley Center	10
Warner Springs	14
Wynola	14
All remaining 43 locations	7

San Francisco County	
Farallon Island	1
All remaining locations	3

San Joaquin County	
All locations	12

California Energy Commission Climate Zones

by County and City

San Luis Obispo County	
Arroyo Grande	5
Avila Beach	5
Baywood Park	5
Cambria	5
Cayucos	5
Edna	5
Estero Bay	5
Grover Beach	5
Grover City	5
Harmony	5
Huasna	5
Huasna River	5
Irish Hills	5
Lopez Lake	5
Los Berros Canyon	5
Los Osos	5
Morro Bay	5
Nipomo	5
Oceano	5
Pismo Beach	5
Point Buchon	5
Point Piedras Blancas	5
San Luis Obispo	5
San Luis Obispo Bay	5
San Simeon	5
Santa Maria River	5
Whale Rock Reservoir	5
All remaining 34 locations	4

San Mateo County	
All locations	3

Santa Barbara County	
Cuyama	4
Cuyama Valley	4
New Cuyama	4
Ventupopa	4
Capitan	6
Carpinteria	6
Concepcion	6
Drake	6
Gaviota	6
Gaviota Pass	6
Goleta	6
Isla Vista	6
Montecito	6
Naples	6
Point Conception	6
San Miguel Island	6
Santa Barbara	6
Santa Barbara Island	6
Santa Cruz Island	6
Santa Rosa Islands	6
Summerland	6
Tajiguas	6

Santa Barbara County	
All remaining locations	5

Santa Clara County	
Calaveras Reservoir 12/4	12/4
All remaining locations	4

Santa Cruz County	
All locations	3

Shasta County	
Big Bend	16
Big Lake	16
Bollibokka Mountain	16
Burney	16
Burney Mountain	16
Cassel	16
Castella	16
Cayton	16
Dana	16
Delta	16
Fall River	16
Fall River Mills	16
Glenburg	16
Hat Creek	16
Knob	16
Lake Britton	16
Lakehead	16
Lamoine	16
Lassen Peak	16
Manzanita Lake	16
McArthur	16
McCloud River	16
Montgomery Creek	16
Obie	16
O'Brien	16
Old Station	16
Pittville	16
Round Mountain	16
Shasta Lake	16
Shingletown	16
Trinity Mountains	16
Viola	16
All remaining 34 locations	11

Sierra County	
All locations	16

Siskiyou County	
All locations	16

Solano County	
Mare Island Naval Facility	3
Monticello Dam 2	
U.S.N. Facility, Vallejo	3
Vallejo	3

Solano County	
All remaining locations	12

Sonoma County	
Annapolis	1
Bodega	1
Bodega Bay	1
Bodega Head	1
Cazadero	1
Duncans Mills	1
Fort Ross	1
Jenner	1
Ocean View	1
Plantation	1
Soda Springs	1
Stewarts Point	1
All remaining locations	2

Stanislaus County	
All locations	12

Sutter County	
All locations	11

Tehama County	
Barkley Mountain	16
Lyonsville	16
Manton	16
Mill Creek	16
Mineral	16
North Yolla Bolly Mountains	16
Saint Bernard	16
South Yolla Bolly Mountains	16
All remaining locations	11

Trinity County	
Island Mountain	2
Kekawaka	2
Kettenpom	2
Zenia	2
All remaining locations	16

Tulare County	
California Hot Springs	16
Camp Nelson	16
Fairview	16
Florence Peak	16
Giant Forest	16
Grant Grove	16
Greenhorn Mountains	16
Johnsondale	16
Kaweah River (Middle fork)	16
Little Kern River	16
Mineral King	16
Mount Whitney	16
Olancha Peak	16

California Energy Commission Climate Zones

by County and City

Tulare County	
Pine Flat	16
Sherman Peak	16
Silver City	16
Tobias Peak	16
Wilsonia	16
Yucca Mountain	16
All remaining locations	13

Tuolumne County	
Big Oak Flat	12
Chinese Camp	12
Columbia	12
Groveland	12
Hetch Hetchy Junction	12
Jacksonville	12
Jamestown	12
Melones Reservoir	12
Mi-Wuk Village	12
Moccasin	12
New Don Pedro Reservoir	12
Sonora	12
Soulsbyville	12
Standard	12
Stent	12
Tuolumne	12
Tuttletown	12
Twain Harte	12
All remaining locations	16

Ventura County	
Apache Canyon	16
Bardsdale	9
Casitas Springs	9
Cuddy Canyon	16
Dry Canyon	16
Fillmore	9
Frazier Mountain	16
Lake Casitas	9
Meiners Oaks	9
Moorpark	9
Mount Pinos	16
Newbury Park	9
Oak Ridge	9
Oak View	9
Ojai	9
Pine Mountain	16
Piru	9
Quatal Canyon	16
Santa Clara River	6/9
Santa Paula	9
Santa Susana	9
Sespe	9
Simi Valley	9
Sulphur Springs	9
Thousand Oaks	9
Wheeler Springs	16
All remaining locations	6

Yolo County	
Berryessa Peak	2/12
All remaining locations	12

Yuba County	
Camptonville	16
Challenge	16
Middle Yuba River	16
New Bullards Bar Reservoir	16
North Yuba River	16
Oregon Peak	16
Strawberry Valley	16
Woodleaf	16
All remaining locations	11

CEC Climate Zones are used with the energy audit tool and priority list. For additional information regarding the climate zones, refer to http://www.pge.com/mybusiness/edusafety/training/pec/toolbox/arch/climate/index.shtml

FIRST AMENDED PROGRAMMATIC AGREEMENT AMONG THE CALIFORNIA ENERGY COMMISSION, THE DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT, THE UNITED STATES DEPARTMENT OF ENERGY, AND THE CALIFORNIA STATE HISTORIC PRESERVATION OFFICER REGARDING SECTION 106 COMPLIANCE FOR DEPARTMENTOF ENERGY AMERICAN RECOVERY AND REINVESTMENT ACT PROGRAMS

WHEREAS, the United States Department of Energy (DOE) administers the *Energy Efficiency and Conservation Block Grant Program* under the Energy Independence and Securities Act of 2007 (EECBG), administers the *State Energy Program* under the Energy Policy and Conservation Act of 1975 and the State Energy Efficiency Programs Improvement Act of 1990 (SEP), and administers the Weatherization Assistance Program (WAP) for low-income persons under Title IV of the Energy Conservation and Production Act, the Energy Policy Act of 2005, and the Energy Independence and Security Act of 2007, and provides financial assistance for the EECBG, SEP, and WAP under the American Recovery and Reinvestment Act of 2009 (ARRA); collectively referred to as the "DOE ARRA" programs; and

WHEREAS, the unprecedented levels of funding available to the DOE ARRA programs has created a large volume of projects requiring expedited historic preservation reviews to ensure the timely obligation of funds, that create new jobs, and improve local and state economies; and

WHEREAS, the California State Office of Historic Preservation (OHP) is experiencing unprecedented numbers of requests for historic preservation review of undertakings funded by all Federal Agencies, including undertakings funded by the DOE ARRA programs; and

WHEREAS, the California State Energy Resources Conservation and Development Commission (Energy Commission) and the California Department of Community Services and Development (CSD) are receiving financial assistance from DOE to carry out the DOE ARRA programs; and

WHEREAS, the projects funded by the DOE ARRA programs are undertakings subject to review under Section 106 of the National Historic Preservation Act, 16 USC 470f (NHPA) and its implementing regulations at 36 CFR Part 800 and include energy efficiency retrofits, renewables, and weatherization (undertakings); and

WHEREAS, the DOE's August 28, 2009 *Memorandum from Office of Energy Efficiency and Renewable Energy Regarding Delegation of Authority for Section 106 Review of Undertakings, Assisted by the U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy* authorizes recipients of DOE ARRA program awards to initiate consultation with the California State Historic

Preservation Officer (SHPO) pursuant to Section 106 of the National Historic Preservation Act of 1966 (16 USC 470f), as amended, and implementing regulations in 36 CFR Part 800, and to carry out steps with the SHPO in that regulatory process; and

WHEREAS, the Energy Commission, CSD, and the DOE have determined that the administration of the DOE ARRA programs may have the potential to adversely affect properties included in or eligible for inclusion in the National Register of Historic Places (National Register), historic properties, and has consulted with the SHPO pursuant to 36 CFR § 800.14(b)(3) and DOE's aforementioned August 28, 2009 *Memorandum Regarding Delegation of Authority for Section 106 Review*; and

WHEREAS, the Energy Commission's consultation with the SHPO resulted in an interim agreement between the Energy Commission and the SHPO, dated December 29, 2009, that established an expedited review process for exempt undertakings not subject to the SHPO's direct review, and a subsequent programmatic agreement between the Energy Commission and SHPO, dated February 19, 2010, that clarified and more formally memorialized the review process for exempt undertakings not subject to the SHPO's direct review; and

WHEREAS, Section XI of the February 18, 2010, programmatic agreement between the Energy Commission and the SHPO contemplates amendments to the agreement from time to time to better clarify and identify exempt undertakings not subject to the SHPO's review; and

WHEREAS, the Energy Commission, CSD, the DOE, and the SHPO now desire to amend the February 18, 2010 programmatic agreement to add CSD and the DOE as parties and to further clarify the review process, identify additional exempt undertakings not subject to the SHPO review, and to conform the programmatic agreement to subsequent guidance by the DOE; and

WHEREAS, the Energy Commission, CSD, the DOE, and SHPO agree to amend the February 18, 2010 programmatic agreement.

NOW THEREFORE, the Energy Commission, CSD, the DOE, and SHPO agree that the DOE ARRA programs will be administered in accordance with the following stipulations in order to take into account the effects of the undertakings proposed under these programs on historic properties, and further agree that these stipulations shall govern the administration of these programs until this Agreement is amended, expires, or is terminated.

STIPULATIONS

The Energy Commission, CSD, and the DOE shall ensure that the following measures are carried out:

I. APPLICABILITY OF AGREEMENT

A. The review process established by this Agreement will be completed prior to any property owner altering any property eligible for assistance under the subject DOE ARRA programs. The review process may take place after the Energy Commission, CSD, or the DOE have awarded DOE ARRA program funds for a particular program, project or undertaking, but must occur prior to the commencement of any work on the particular program, project or undertaking. Any program, project, or undertaking will be reviewed in accordance with the procedures outlined in 36 CFR Part 800.

B. Attachment A establishes categories of individual undertakings under the DOE ARRA programs that are exempt from SHPO review. These individual undertakings are not expected to be on Tribal lands and are primarily smaller scale activities and routine projects, without the potential for adversely affecting historic properties, rather than complex undertakings with a greater potential to adversely affect historic properties. The Energy Commission, CSD and the DOE shall perform the following review to determine whether a particular undertaking qualifies for a review exemption under Attachment A.

1. Energy Commission Review.

The Energy Commission shall review documentation from applicants for DOE ARRA program funds to verify that individual undertakings qualify for review exemption under Attachment A, report such exemptions to the SHPO in accordance with stipulation VIII below, and retain that documentation for three (3) years. The applicant's documentation may include a certification by the applicant, a sub-grantee of the applicant, or the contractor conducting the project that the individual undertaking qualifies for a review exemption. It is understood by the SHPO that the Energy Commission review pursuant to this Agreement shall be performed by Energy Commission staff in the Cultural Resources Unit of the Environmental Protection Office of the Energy Commission's Siting, Transmission, and Environmental Protection Division, or by equivalent Energy Commission staff of similar qualifications, expertise, and experience in the Section 106 consultation process and that meet the Secretary of the Interior's Professional Qualifications Standards (36 CFR Part 61).

2. CSD Review.

The CSD shall review documentation from applicants for DOE ARRA program funds to verify that individual undertakings qualify for review exemption under Attachment A, report such exemptions to the SHPO in

accordance with stipulation VIII below, and retain that documentation for three (3) years. The applicant's documentation may include a certification by the applicant, a sub-grantee of the applicant, or the contractor conducting the project that the individual undertaking qualifies for a review exemption. It is understood by the SHPO that the CSD review pursuant to this Agreement shall be performed by CSD staff or consultant(s) having expertise in the Section 106 consultation process, and meeting the Secretary of the Interior's Professional Qualifications Standards (36 CFR Part 61), subject to SHPO approval.

3. DOE Review.

For other California recipients of DOE ARRA program funds (recipients other than the Energy Commission and CSD), recipients shall make documentation available to DOE to verify a recipient's individual undertakings qualify for review exemption under Attachment A. The recipient's documentation may include a certification by the recipient, a sub-grantee of the recipient, or the contractor conducting the project that the individual undertaking qualifies for a review exemption. DOE will provide the SHPO with an annual report in accordance with stipulation VIII below, and retain that documentation for three (3) years.

C. Program-based undertakings that implement any of the individual undertakings identified in Attachment A are exempt from SHPO review. These program-based undertakings include retrofit projects in which the applicant does not know, at the commencement of the project, which buildings or structures will be retrofitted or which specific retrofit measures will be installed on such buildings or structures. The Energy Commission, CSD and the DOE shall perform the following review to determine whether a particular undertaking qualifies for a review exemption under Attachment A.

1. Energy Commission Review.

The Energy Commission shall review documentation from applicants that are awarded DOE ARRA program funds to verify that an individual undertaking under a program-based undertaking qualifies for a review exemption in accordance with Paragraph B. The applicant's documentation may include a certification by the applicant, a sub-grantee of the applicant, or the contractor conducting the retrofit project that the individual undertaking qualifies for a review exemption. The Energy Commission's review may take place after the applicant has been awarded DOE ARRA program funds, but must occur prior to the applicant's commencement of work on any undertakings. The applicant's award agreement from the Energy Commission shall be conditioned to preclude the applicant from commencing work on any proposed individual

undertaking until the Energy Commission has completed its review of the undertaking in accordance with Paragraph B.

2. CSD Review.

The CSD shall review documentation from applicants that are awarded DOE ARRA program funds to verify that an individual undertaking under a program-based undertaking qualifies for a review exemption in accordance with Paragraph B. The applicant's documentation may include a certification by the applicant, a sub-grantee of the applicant, or the contractor conducting the retrofit project that the individual undertaking qualifies for a review exemption. The CSD's review may take place after the applicant has been awarded DOE ARRA program funds, but must occur prior to the applicant's commencement of work on any undertakings. The applicant's award agreement from the CSD shall be conditioned to preclude the applicant from commencing work on any proposed individual undertaking until CSD has completed its review of the undertaking in accordance with Paragraph B.

3. DOE Review.

For other California recipients of DOE ARRA program funds (recipients other than the Energy Commission and CSD), recipients shall make documentation available to DOE to verify a recipient's individual undertakings qualify for review exemption under Attachment A. The recipient's documentation may include a certification by the recipient , a sub-grantee of the recipient , or the contractor conducting the retrofit project that the individual undertaking qualifies for a review exemption.

II. AREA OF POTENTIAL EFFECTS

For purposes of the Section 106 consultation of non-exempt undertakings, the Area of Potential Effects (APE) will be limited to the individual building when an undertaking is limited to the weatherization, rehabilitation, and/or improvement of the existing building. If construction of exterior additions or the expansion of an existing building is anticipated, the APE shall be expanded to include surrounding historic properties that may be visually impacted.

For DOE ARRA programs where undertaking implementation would include the construction or modification of ancillary facilities exterior to existing buildings or structures, the APE shall include the subject existing buildings and structures, the associated ancillary facilities, historic properties in the viewshed of the existing buildings and structures and the ancillary facilities, and any ground, the disturbance of which is requisite to the implementation of a proposed undertaking.

III. IDENTIFICATION OF HISTORIC PROPERTIES

When conducting their respective reviews of non-exempt undertakings, the Energy Commission, CSD and the DOE will initiate the Section 106 review process by studying all existing and pertinent information on all properties in an APE, including review of the National Register, local inventories, and records housed at the California Historical Resources Information System (CHRIS) regarding those properties which have been determined to be historic properties, either individually, as part of a historic district, or as part of a multiple property nomination. If an APE expands beyond an individual building and other properties in that APE have not been surveyed, the Energy Commission, CSD and the DOE will cause the applicant for DOE ARRA program funds to conduct an inventory effort consistent with 36 CFR § 800.4(b)(1). When considering the results of any such inventory effort,

A. a property listed in the National Register is an historic property and subject to an assessment of the potential effects of an undertaking on it,

B. if the agency official determines any of the National Register Criteria are met and the SHPO agrees, the property shall be considered eligible for the National Register for Section 106 purposes. If the agency official and the SHPO do not agree, or if the Council or the Secretary so request, the agency official shall obtain a determination of eligibility from the Secretary pursuant to 36 CFR Part 63.

C. a property determined, pursuant to 36 CFR § 800.4(c)(2), to be ineligible for inclusion in the National Register in the last five (f) years is not historic and the property will not be subject to further review.

IV. ASSESSMENT OF EFFECTS

A. When conducting their respective reviews, the Energy Commission, CSD and the DOE will assess, pursuant to 36 CFR §§ 800.4(d)(1) and 800.5(a) and (b), the potential effects of each nonexempt undertaking on historic properties, and will review the scope of work for each such undertaking to determine whether the undertaking would conform to the recommended approaches contained in the Secretary of the Interior's Standards for the Treatment of Historic Properties (Standards).

1. If the Energy Commission, CSD, or the DOE find, pursuant to 36 CFR § 800.4(d)(1), that an undertaking would affect no historic properties, either because there are no historic properties present, or no historic properties will be impacted physically or visually, the Energy

Commission, CSD or the DOE will notify the applicant for that undertaking of that finding, and, upon receipt of the notification, the applicant will be able to proceed with the implementation of the subject undertaking, as submitted, without further review.

2. If the Energy Commission, CSD, or the DOE find, pursuant to 36 CFR § 800.5(b), that an undertaking would not adversely affect historic properties, because it will have only a minor impact and conforms to the Standards, the Energy Commission, CSD or the DOE will notify the applicant for that undertaking of that finding, and, upon receipt of the notification, the applicant will be able to proceed with the implementation of the subject undertaking, as submitted, without further review.

3. If the Energy Commission, CSD or the DOE is unable, pursuant to 36 CFR §§ 800.5(a) and (b), to find that an undertaking would not adversely affect historic properties, the Energy Commission, CSD or the DOE may recommend to the applicant for an undertaking modifications on the scope of work or conditions under which the project would be found to conform to the Standards, the Energy Commission, CSD or the DOE will subsequently forward all documentation on the subject undertaking to the SHPO for further review.

4. If the Energy Commission, CSD or the DOE believe, in accordance with 36 CFR § 800.5(d)(2), that an undertaking would adversely affect historic properties, because it will have a major impact to such properties and does not conform to the Standards, the Energy Commission, CSD and the DOE will subsequently forward all documentation on the subject undertaking to the SHPO for further review and consultation for purposes of addressing adverse effects.

V. ENERGY COMMISSION, CSD AND DOE RESPONSIBILITIES

A. Energy Commission Responsibilities.

1. The Energy Commission will require sub-grantees of DOE ARRA program funds to retain access to pre- and post-documentation of completed DOE ARRA program-funded work, including the work write-ups and photographs as part of its permanent project records.

2. The Energy Commission will monitor every program for compliance with this Agreement according to established guidelines.

3. The energy Commission will notify SHPO of any changes to an approved scope of work, other than exempted activities, and will

provide SHPO with the opportunity to review and approve such changes.

B. CSD Responsibilities.

1. The CSD will require sub-grantees of DOE ARRA program funds to retain access to pre- and post-documentation of completed DOE ARRA program-funded work, including the work write-ups and photographs as part of its permanent project records.

3. The CSD will monitor every program for compliance with this Agreement according to established guidelines.

4. The CSD will notify SHPO of any changes to an approved scope of work, other than exempted activities, and will provide SHPO with the opportunity to review and approve such changes.

C. DOE Responsibilities.

1. The DOE will require grantees of DOE ARRA program funds to retain access to pre- and post-documentation of completed DOE ARRA program-funded work, including the work write-ups and photographs as part of its permanent project records.

2. The DOE will monitor every program for compliance with this Agreement according to established guidelines.

3. The DOE or its recipients will notify SHPO of any changes to an approved scope of work, other than exempted activities, and will provide SHPO with the opportunity to review and approve such changes.

VI. SHPO RESPONSIBILITIES

A. SHPO is permitted thirty (30) calendar days after the receipt of any submitted documentation to review and comment on such material. If the SHPO fails to respond within 30 days of receipt of request for review of a finding or determination, the agency official may either proceed to the next step in the process based on the finding or determination or consult with the Council in lieu of the SHPO in accordance with 36 CFR § 800.3(c)(4).

VII. DISCOVERIES AND UNFORESEEN EFFECTS

If, during the implementation of the DOE ARRA programs, a previous unidentified property that may be eligible for inclusion in the National Register is encountered, or is affected in an unanticipated manner, the

Energy Commission, CSD, or the DOE will consult with the SHPO pursuant to 36 CFR § 800.13(b).

VIII. REPORTING

A. Energy Commission and CSD Reporting.

In order to satisfy their respective responsibilities under this Agreement, the Energy Commission and CSD will forward to the SHPO, by the tenth calendar day following the last day of each calendar quarter, a report of all review exemptions verified and all reviews completed for undertakings covered by the terms of this Agreement. The exemptions and reviewed undertakings should be listed by the property address including city and/or county, and should include the original construction date of the property and the type of project.

B. DOE Reporting.

In order to satisfy their respective responsibilities under this Agreement, the DOE will forward to the SHPO within 30 calendar days following the last day of the calendar year, a report of all review exemptions verified and all reviews completed for undertakings covered by the terms of this Agreement. The exemptions and reviewed undertakings should be listed by the property address including city and/or county, and should include the original construction date of the property and the type of project.

IX. MONITORING

SHPO may monitor any activities carried out pursuant to this Agreement. The Energy Commission, CSD and the DOE will cooperate with SHPO in carrying out these monitoring and review responsibilities.

X. DISPUTE RESOLUTION

If the Energy Commission, CSD or the DOE are unable to resolve any disagreement with SHPO arising under the provisions of this Agreement, the Energy Commission, CSD or the SHPO will, unless the dispute relates to the National Register eligibility of any property, forward full documentation regarding the project, the basis for the dispute, and initiate consultation with the Advisory Council on Historic Preservation (Council) in accordance with 36 CFR § 800.2(b)(2).

XI. AMENDMENTS

Any signatory to this Agreement may request that it be amended, whereupon the parties will consult with each other. No amendment to this

Agreement will be come effective without the written concurrence of all signatories.

It is contemplated by the parties that Attachment A of the Agreement may be revised from time to time to better clarify and identify exempt undertakings not subject to the SHPO's direct review and consultation. The parties agree that Attachment A may be revised without having to formally amend the Agreement. All such revisions to Attachment A shall be approved in writing by the parties and shall take effect upon approval.

XII. TERMINATION

A. Any party to this Agreement may terminate the Agreement by providing thirty (30) days notice to the other signatory, provided that the signatories consult during the period prior to the termination to seek agreement on amendments or other actions that would avoid termination.

B. In the event of termination, the Energy Commission, CSD and the DOE will ensure compliance with 36 CFR §§ 800.4-6 with respect to individual undertakings covered by this Agreement that are subject to their respective reviews.

XIII. FAILURE TO COMPLY WITH TERMS OF AGREEMENT

In the event that the terms of this Agreement cannot be carried out by the Energy Commission, CSD or the DOE, no action will be taken or sanction of any action or any irreversible commitment by the Energy Commission, CSD or the DOE that would result in an adverse effect to historic properties or would foreclose the Council's consideration of modifications or alternatives to any DOE ARRA program undertaking.

XIV. LIABILITY LIMITATIONS

A. Energy Commission and CSD Limitations.

In the event that the terms of this Agreement are not carried out by sub-grantees of the DOE ARRA program funds as indicated in work plans submitted to the Energy Commission or CSD, the sub-grantee will assume all responsibility for any undertaking as indicated in its respective agreement with the Energy Commission or CSD.

B. DOE Limitations.

In the event that the terms of this Agreement are not carried out by grantees of the DOE ARRA program funds as indicated in work plans

submitted to the DOE, the grantee will assume all responsibility for any undertaking as indicated in its agreement with the DOE.

XV. DURATION OF THE AGREEMENT

A. Unless terminated pursuant to stipulation XII, or an amended Agreement supersedes it, this Agreement will be in effect following execution by the signatory parties until the Energy Commission, CSD or the DOE, in consultation with the other signatories, determines that all of their respective stipulations have been satisfactorily fulfilled as concurred by the SHPO. This Agreement will terminate as to the Energy Commission, CSD or the DOE , and have no further force or effect with respect to this party, on the day that the party notifies the other signatory in writing of the party's determination that all stipulations of this Agreement have been satisfactorily fulfilled.

B. The terms of this Agreement shall be satisfactorily fulfilled within five years following the date of execution by the signatory parties. If the Energy Commission, CSD or the DOE determine that this requirement cannot be met, the signatories to the Agreement will consult to reconsider its terms. Reconsideration may include continuation of the Agreement as originally executed, amendment of the Agreement, or termination. In the event of termination, the parties will comply with subpart B of stipulation XII if the parties determine that the administration of the DOE ARRA programs will proceed notwithstanding termination of the Agreement.

C. If the administration of DOE ARRA programs is not complete five years following execution of this Agreement by the signatory parties, this Agreement shall automatically terminate and have no further force or effect. In such event, the Energy Commission, CSD and the DOE shall notify the SHPO in writing and, if it chooses to continue with the administration of DOE ARRA programs, shall reinitiate the review of such programs in accordance with 36 CFR Part 800.

XVI. EFFECTIVE DATE

Amendment 1 of this Agreement will take effect on the date that it has been executed by the SHPO, the Energy Commission, CSD, and the DOE.

EXECUTION AND IMPLEMENTATION OF Amendment 1 of this Agreement, pursuant to 36 CFR § 800.14(b)(3), including its transmittal by the DOE to the Council in accordance with 36 CFR § 800.6 (b)(1)(iv), shall evidence that the DOE, the Energy Commission and the CSD, have taken into account the effects of the administration of DOE ARRA programs on historic properties in order to avoid, minimize, or mitigate any adverse effects on such properties and thereby

comply with Section 106 of the NHPA, and shall further evidence that the DOE has afforded the Council an opportunity to comment on the administration of DOE ARRA programs and their effects on historic properties.

SIGNATORIES

California State Historic Preservation Officer

By: _____ Date: 19 MAY 2010
Milford Wayne Donaldson, FAIA
State Historic Preservation Officer

California Energy Commission

By: _____ Date: 5/19/2010
Melissa Jones
Executive Director

Department of Community Services and Development

By: _____ Date: 5-19-10
Cliff Allenby
Interim Director

United States Department of Energy
Office of Energy Efficiency and Renewable Energy

By: _____ Date: 5/24/10
Clair Broido Johnson
Acting Program Manager
Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

ATTACHMENT A

EXEMPT UNDERTAKINGS – UNDERTAKINGS NOT REQUIRING REVIEW BY SHPO

A. ***Properties Less than Forty Five Years Old.*** Undertakings affecting only properties less than forty five (45) years old at the time the work takes place; provided it has not been determined to be eligible under National Register Criterion Consideration G for exceptional significance (36 CFR 60.4).

B. ***Undertakings for Planning, Training and Educational Purposes***

1. Undertakings to fund regional workforce development programs focused on occupations in energy efficiency, water efficiency, renewable energy (distributed generation and utility-scale), and alternative and renewable transportation technologies.
2. Undertakings to support existing clean energy job training for new hires and retraining programs for incumbent workers.
3. Undertakings to fund energy efficiency, water efficiency, and renewable energy training for incumbent and new workers to add new skills to their professional toolbox.
4. Undertakings to support state planning and energy assurance capabilities by improving state emergency preparedness plans and ensure quick recovery and restoration from any energy supply disruptions.
5. Undertakings to fund training for energy infrastructure and supply systems, and conduct and participate in state and regional energy and emergency exercises.
6. Undertakings to conduct residential and commercial building energy audits or assessments.
7. Undertakings for the design and operation of programs to educate the public, identify the most effective methods for achieving the maximum participation and efficiency rates, establish measurement and verification protocols, and identify energy efficient technologies for possible implementation.
8. Undertakings to develop and implement programs to conserve energy used in the transportation sector, including the use of flex time by employers, use of satellite work centers, development and promotion of zoning guidelines or requirements that promote energy efficient development, and synchronization of traffic signals.
9. Undertakings to develop and implement building codes and inspection services, and associated training and enforcement of such codes in order to support code compliance and promote building energy efficiency.

C. Building Interiors

General Interior Work:

1. Undertakings limited to the interior spaces of properties not listed in the National Register where the work will not be visible from the exterior of the building.
2. Repairing or upgrading electrical or plumbing systems, installing fire, smoke or carbon dioxide detectors and alarms, and installing mechanical equipment, in a manner that does not affect the exterior of the building.
3. Conducting weatherization or energy conservation activities such as air sealing and insulating walls, ceilings, floors, attics, roofs, crawl spaces, ducts and foundations, provided repairs are made by a qualified contractor using current best practices.
    a. Wall insulation – in terms of materials, blown in cellulose insulation, treated with fire-retardant salts is permitted. Spray foams should only be used in discrete locations for air-sealing and never for filling cavity walls. Urethane foams are not to be used. For moisture laden conditions and moisture vapor, more research should be conducted before in-wall insulation is used, refer to www.ohp.parks.ca.gov (go to sustainability).
4. Undertakings to replace existing residential appliances with new California-qualified residential ENERGY STAR® appliances, where the new appliances must replace appliances of the same type (AC for AC, clothes washer for clothes washer, etc.) and the replaced appliance must be properly recycled.
5. Undertakings to replace lighting in buildings with energy efficient technologies, where only the lighting equipment is replaced and there are no ground disturbances.
6. Undertakings to replace existing heating, ventilation, and air conditioning equipment, electric motors, lighting, and lighting controls with more energy efficiency equipment, where only the equipment is replaced and there are no changes to the building or structure or ground disturbance.
7. Undertakings to install dual technology occupancy sensors to control lighting for intermittently occupied spaces.
8. Undertakings to install variable frequency drives (VFDs) for electric motors, fans, and pumps.
9. Undertakings to install vending machine controls to conserve energy.
10. Undertakings to install programmable thermostats or integrated landscaping control systems to conserve energy.
11. Undertakings to install sensors and equipment controls for purposes of increasing energy efficiency.
12. Lead based paint abatement in accordance with the Standards and Preservation Brief #37.

Energy Efficiency Work with the Building Shell:

Special Note: Any work involving ground-disturbing activities requires SHPO review.

1. Performing plumbing work, including installation of water heaters, water heater tank and pipe insulation, and energy and water efficient distribution systems and controls.
2. Performing electrical work, including improving lamp efficiency, installing task/ambient lighting systems, installing lighting controls, and installing whole house fans and ceiling fans.
3. Sealing air leaks using weather stripping, doors sweeps, and caulk, and testing for and sealing of major air leaks within the building envelope and air delivery system.
4. Repair or replace water heaters, hot water distribution systems and controls.
5. Adding adjustable speed capability, such as on HVAC system distribution fans, cooling tower fans, and pumps.
6. Install insulation on water heater tanks and water distribution pipes and refrigerant lines.
7. Install solar water heating systems, provided the structure is not visible from the public right-of-way.
8. Install waste heat recovery devices, including desuperheater water heaters, condensing heat exchangers, heat pump and water heating heat recovery systems, and other energy recovery equipment.
9. Repair or replace electric motors and motor controls, such as variable speed drives.
10. Incorporate other lighting technologies, such as dimmable ballasts, day lighting controls, and occupant controlled dimming.
11. Lead based paint abatement in accordance with the Standards and Preservation Brief #37.
12. Building cleaning in accordance with the Standards and Preservation Briefs #1, #6, and #10.

Work on Heating and Cooling Systems:

Special Note: Any work involving ground-disturbing activities requires SHPO review.

1. Clean, tune, repair or replace heating systems, including furnaces, boilers, heat pumps, vented space heaters, and wood stoves.
2. Clean, tune, repair or replace cooling systems, including central air conditioners, window air conditioners, heat pumps, and evaporative coolers, and system components, to save energy and water.
3. Install insulation on ducts, heating system distribution pipes and air conditioner refrigerant lines.
4. Conduct other efficiency improvements on heating and cooling systems, including replacing standing pilot lights with electronic ignition devices and installing vent dampers, correcting improper refrigerant charge, and correcting improper airflow.

5. Modify duct and pipe systems so heating and cooling systems operate efficiently and effectively, including adding return ducts, replacing diffusers and registers, replacing air filters, installing thermostatic radiator controls on steam and hot water heating systems; provided interior of historic structures is not affected.
6. Install programmable thermostats, outdoor reset controls, UL listed energy management systems or building automation systems and other HVAC control systems.
7. Repairing or upgrading electrical or plumbing systems and installing mechanical equipment, in a manner that does not permanently change the appearance of the interior or exterior of the building.

Energy Efficiency Work Affecting the Electric Base Load of the Property:

1. Convert incandescent lighting to fluorescent or other high efficacy light source.
2. Add reflectors, LED exit signs, efficient HID fixtures, daylighting, occupancy (motion) sensors and other lighting controls that reduce lighting energy use.
3. Replace refrigerators and other appliances, replace or install controls or make other efficiency improvements to commercial refrigeration systems and to other equipment installed in nonresidential buildings.

Health and safety measures:

1. Installing fire, smoke or carbon dioxide detectors/alarms.
2. Repair or replace vent systems on fossil-fuel-fired heating systems and water heaters to ensure that combustion gasses draft safely to outside, including combustion safety testing.
3. Install mechanical ventilation, in a manner not visible from the public right-of-way, to ensure adequate indoor air quality.

D. *Roofing*

1. Repairing or replacing roofing with materials that closely match the historic materials and form, or with materials that restore the original feature based on historic evidence, and in a manner that does not alter the roofline.
2. Installing continuous ridge vents covered with ridge shingles or boards, or roof jacks/vents, bath and kitchen fan vents, gable vents, soffit and frieze board vents, and combustion appliance flues, if not located on a primary roof elevation or visible from the public right-of-way.
3. Installing reflective roof coating in a manner that closely resembles the historic materials and form, or with materials that restore the original feature based on historic evidence, and in a manner that does not alter the roofline, or where not on a primary roof elevation or visible from the public right-of-way.

4. Installation or replacement of downspout extensions, provided that the color of the extensions is historically appropriate for the period and style of the property.
5. Installing integrated shingle style or thin film solar systems on the rear roof of the structure, behind the parapet or not visible from the public right-of-way.
6. Repair of minor roof and wall leaks prior to insulating attics or walls, provided repairs closely resemble existing surface composite.

E. *Exterior painting*

1. Painting exterior surfaces unless the property is subject to review by SHPO under PRC 5024 and 5024.5 or by local landmark ordinance provisions, provided destructive surface preparation treatments, including, but not limited to, water-blasting, sandblasting and chemical removal, are not used.
2. Conducting Lead-based Paint Abatement of "Management in Place" activities carried out by a qualified contractor using current best practices and methods that are consistent with the preservation techniques in *Preservation Brief #37: Appropriate Methods for Reducing Lead-Paint Hazards in Historic Housing.*

F. *Masonry*

1. Power-washing exterior masonry performed by a qualified contractor at no more than 300 psi with mild detergent, using current best practices and methods that are consistent with the preservation techniques in *Preservation Brief #1: The Cleaning and Waterproof Coating of Masonry Buildings.*
2. Repairing masonry, including repointing, and rebuilding chimneys if the joints are done by hand and the mortar matches the original composition and color, and installing chimney flue liners, provided repairs are made by a qualified contractor using current best practices and methods that are consistent with the preservation techniques in *Preservation Brief #2: Re-pointing Mortar Joints in Historic Brick Buildings.*

G. *Windows and Doors*

1. Repairing or replacing caulking, weather-stripping, and other air infiltration control measures on windows and doors, and installing thresholds, in a manner that does not harm or obscure historic windows or trim.
2. Installing interior storm windows or doors, and wood screen doors in a manner that does not harm or obscure historic windows or trim.
3. Installing insulated exterior replacement doors where the openings are not altered and they cannot be viewed from the public right-of-way.
4. Installing removable film on windows (if the film is transparent), solar screens, or window louvers, in a manner that does not harm or obscure historic windows or trim.

H. ***Foundations***

1. Underpinning and ventilating crawl spaces provided the underpinning materials are set at least two (2) inches behind the outer face of piers or foundations on the front façade.
2. Installing foundation vents, if painted or finished to match the existing foundation material.

I. ***General Efficiency Measures Not Affecting Exterior of Buildings***
Special Note: Any work involving ground-disturbing activities requires SHPO review.

1. Installing thermal insulation, such as non-toxic fiberglass, cellulose, foam, and foil wrapped, in walls, floors, ceilings, attics, and foundations in a manner that does not harm or damage historic fabric.
2. Energy audits and feasibility studies.
3. Weatherization of mobile homes and trailers.
4. Caulking and weather-stripping around doors and windows in a manner that does not harm or obscure historic windows or trim.
5. Water conservation measures, such as low flow faucets, toilets, showerheads, urinals, and other efficient water using equipment.
6. Repairing in kind existing driveways, parking areas, and walkways with materials of similar appearance.
7. Ventilating crawl spaces.
8. Replacement of existing HVAC equipment including pumps, motors, boilers, chillers, cooling towers, air handling units, package units, condensers, compressors, heat exchangers that do not require a change to existing ducting, plumbing, electrical, controls or a new location, or if ducting, plumbing, electrical and controls are on the rear of the structure or not visible from any public right-of-way.
9. Adding or replacing existing building controls systems including HVAC control systems and the replacement of building-wide pneumatic controls with digital controls, thermostats, dampers, and other individual sensors like smoke detectors and carbon monoxide detectors (wired or non-wired).
10. Installing vents (such as continuous ridge vents covered with ridge shingles or boards, roof vents, bath and kitchen vents, soffit and frieze board vents or combustion appliance flues) if not visible from the public right-of-way.
11. New installation on non-hard wired devices including photo-controls, occupancy sensors, carbon dioxide, thermostats, humidity, light meters and other building control sensors, provided the work conforms with applicable state and local permitting requirements.
12. Adding variable speed capacity to electric motors, fans and pumps.
13. Insulation f water heater and boiler tanks and pipes.
14. Furnace or hot water tank replacement that does not require a visible new supply or venting.
15. Installing whole house fans or ceiling fans.

J. *Insulation Measures Not Affecting the Exterior of the Building*

1. Thermal insulation installation in walls, floors, attics and roof (excluding toxic spray foam insulation).
    a. Wall insulation – in terms of materials, blown in cellulose insulation, treated with fire-retardant salts is permitted. Spray foams should only be used in discrete locations for air sealing and never for filling cavity walls. Urethane foams are not to be used. For moisture laden conditions and moisture vapor, more research should be conducted before in-wall insulation is used, refer to www.ohp.parks.ca.gov (go to sustainability).
2. Duct sealing, insulation, repair or replacement in unoccupied areas.
3. Attic insulation with proper ventilation.
4. Band joist insulation – R11 to R19 as applicable.
5. Water heater tank and pipe insulation, and heating system pipe insulation and air conditioner refrigerant line insulation.

K. *Electric Base Load Measures Not Affecting the Exterior of the Building*

1. Appliance replacement (upgrade to EnergyStar or higher efficiency appliances).
2. Compact fluorescent light bulbs or other high efficacy light source.
3. Energy efficient light fixtures, including ballasts (Replacement).
4. LED light fixtures and exit signs (Replacement).
5. Upgrade exterior lighting (replacement with metal halide bulbs, LEDs, or others) along with ballasts, sensors and energy storage devices not visible from any public right-of-way.
6. Refrigeration equipment and systems replacement, controls, tuning and repair.
7. Thermal energy storage devices and controls not visible from any public right-of-way.
8. Replacing lighting in parking lots, traffic signals and street lighting with energy efficient technologies, where only the lighting equipment is replaced and there are no ground disturbances.

L. *Efficiency and Repair Measures*

1. Installation or replacement of downspout extensions, provided that the color of the extensions is historically appropriate for the period and style of the property.
2. Repairing or upgrading electrical or plumbing systems and installing mechanical equipment, in a manner that does not permanently change the appearance of the interior or exterior of the building.
3. Installing integrated shingle style or thin film solar systems on the rear roof of the structure, behind the parapet or not visible from the public right-of-way.
4. Installing solar systems (including photovoltaic and solar thermal) not visible from the public right-of-way and if ground mounted can be installed

without ground disturbance and if roof mounted will not require new building reinforcement.

5. Lead based paint abatement in accordance with the Standards and Preservation Brief #37.
6. Building cleaning in accordance with the Standards and Preservation Briefs #1, #6, and #10.
7. Installing vents (such as continuous ridge vents covered with ridge shingles or boards, roof vents, bath and kitchen vents, soffit and frieze board vents or combustion appliance flues) if not visible from the public right-of-way.

CSD Health and Safety Plan

The grantee Health and Safety (H&S) Plan will be used by DOE to monitor the health and safety costs, activities, and implementation protocols by subgrantees as well as the enforcement of these practices by the grantee. Weatherization Program Notice (WPN) 11-6 entitled *Health and Safety Guidance*, issued on January 12, 2011, must be used as a guide for the development of policies, procedures, and field standards governing this important feature of the Weatherization Assistance Program (WAP) service delivery. The submission of the grantee's annual Health and Safety Plan must meet the following minimum requirements:

- The grantee must show how they will budget their health and safety costs. These costs can either be included in a separate health and safety budget category or as part of the regular program operations. The grantee is encouraged to budget health and safety costs as a separate category, thereby excluding these costs from the average cost per unit calculation. Creating a separate budget category also allows these costs to be isolated from energy efficiency costs during program evaluations. The grantee is also reminded that, if health and safety costs are budgeted and reported under the program operations category rather than a separate health and safety category, the costs must be included in the calculation of the average cost per unit and cost-justified through the energy audit.

- The grantee must identify in their Plan which measures will be installed under health and safety and which measures will be installed as incidental repairs. As a note, ***Incidental Repairs*** means "those repairs necessary for the effective performance or preservation of weatherization materials." These repairs are usually different than those measures identified in the grantee's Health and Safety Plan. It is the Project Officer's responsibility to approve the delineation in the grantee's Plan between health and safety and incidental repair costs.

- The grantee will set health and safety expenditure limits, providing justification for the basis of these limits. These limits must be expressed as a percentage of the average cost per dwelling unit. For example, if the average cost per dwelling is $5,000, then an average expenditure of $500 per dwelling in Health and Safety costs would be acceptable in the Plan. While it has been a common practice to accept 10 percent as a benchmark in health and safety allowance, the grantee should establish a percentage that best reflects both the history of these applications and the complication of the H&S protocols in the Plan. The higher percentage identified for H&S requires more stringent documentation to support the costs. While required as a percentage of the average unit cost, if budgeted separately, the health and safety costs are not calculated into the per-house limitation.

- The grantee must create a deferral policy. Deferral may be necessary if health and safety issues cannot be adequately addressed according to WPN 11-6 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. In the judgment of the auditor, any conditions that exist, which may endanger the health and/or safety of the workers or occupants, should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. The grantee should be specific in their approach and provide the process for clients to be notified in writing of the deferral and what corrective actions are necessary for weatherization to continue. The grantee should also provide a process for the client to appeal to a higher level in the organization.

- The grantee must develop procedures on how information is solicited from clients to reveal known or suspected occupant health concerns as part of the initial application for Weatherization. During the energy audit, the auditor should perform additional screening to determine what steps will be taken to ensure that Weatherization work will not worsen the health concern.

- The grantee must develop documentation forms that should include the client's name and address, dates of the audit/assessment and when the client was informed of a potential health and safety issue, a clear description of the problem, a statement indicating if, or when conditions under which weatherization could

continue, the responsibility of all parties involved, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options.

- The grantee must identify the hazards to be remedied and anticipated approaches including testing, training, client education, and conditions that require referral to other agencies. The Health and Safety Plan should comply with WPN 11-6 and address each issue identified in the Guidance as well as any additional health and safety issues the grantee wishes to address. This should also include guidelines for determining and documenting if the potential health and safety issue should be remedied, referred to other agencies, result in partial weatherization, or lead to deferral. Subgrantees are expected to pursue reasonable options on behalf of the client, including referrals, and to use good judgment in dealing with difficult situations.

- The grantee must develop procedures that include a method used to determine when DOE monies will be used to remedy the health and safety issue, and how the grantee will treat problems that cannot be remedied with DOE monies after discovery.

- The grantee must specify how training will be provided for each of the health and safety issues included in the grantee's H&S Plan.

- The grantee must specify how testing will occur to determine the presence of any health and safety problem that requires action by the subgrantee, including, at a minimum, those tests required in WPN 11-6.

- The grantee must provide a detailed explanation on implementation of ASHRAE 62.2, which will be required for the 2012 program year. Grantees must provide justification if making changes to ASHRAE 62.2 specific to their housing stock and local considerations.

- The grantee must provide a detailed explanation on implementation of smoke and/or carbon monoxide detector installation parameters and procedures.

- The grantee must provide an explanation of protocols for the repair and replacement of both heating and cooling equipment, including justification for allowance within the scope of service delivery, climate justification with degree days and how the grantee defines "at-risk occupants" for cooling allowance.

- The grantee must provide an explanation of procedures to be followed when problems are discovered during testing of combustion gases.

- The grantee must provide an explanation on implementation of OSHA and MSDS requirements related to crew and worker safety, how the 10 and 30 hour training requirements will be met, and what the process is being used to determine if crews are using safe work practices according to all requirements.

- The grantee must provide an explanation on the protocols being used to identify any mold or moisture related issues in the client's home. The protocol should include how these issues are discovered during the initial audit or assessment, notification to the client, and crew training on how to alleviate limited mold and moisture conditions in the home.

- The grantee must provide an explanation on how it plans to implement and verify compliance with RRP and LSW. The explanation should clearly show an understanding that LSW and RRP are separate requirements and both protocols are required to be met.

Grantee Health and Safety Plan - CALIFORNIA

(Fill in the white boxes below the category heading.)

Budgeting (Check one):

The grantee is encouraged to budget health and safety costs as a separate category and, thereby, excludes such costs from the average per-unit cost calculation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. The grantee is reminded that, if health and safety costs are budgeted and reported under the program operations category rather than the health and safety category, the related health and safety costs must be included in the calculation of the average cost per home and cost-justified through the audit.

Separate Health & Safety Budget ☑

Contained in Program Operations ☐

Incidental Repairs (List repairs, if any, that will be removed as health and safety measures and implemented as incidental repairs.):

If the grantee chooses to identify any health and safety measures as incidental repairs, they must be implemented as such under the grantee's weatherization program in all cases – meaning, they can never be applied to the health and safety budget category. In order to be considered incidental repairs, the measure must fit the following definition and be cost justified along with the associated efficiency measure. Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program.

When an issue exists that does not exceed the program scope, but correction would make an energy conservation measure feasible, correction shall be made as an Incidental Repair. Per WPN 11-6, incidental (minor) repairs related to Building Structure and Roofing, such as drainage (reconnection of a gutter, etc.), shall be made.

Incidental repairs (Limited Home Repair or LHR) and all infiltration-reduction measures are separately billed from health and safety.

The DOE-approved audit protocols make assumptions that all health and safety and infiltration-reduction measures are completed. Approved defaults within the audit include those assumptions and are included in the package SIR.

Health and Safety Expenditure Limits (Provide a per-unit average percentage and justification relative to the amount. Low percentages should include a statement of what other funding is being used to support health and safety costs, while larger percentages will require greater justification and relevant historical support.):

The grantee must set health and safety expenditure limits for their subgrantees, providing justification by explaining the basis for setting these limits and providing related historical experience. It is possible that these limits may vary depending upon conditions found in different geographical areas. These limits must be expressed as a percentage of the average cost per dwelling unit. For example, if the average cost per dwelling is $5000, then an expenditure of $500 per dwelling would equal 10 percent expenditures for health and safety. 10 percent is not a limit on H&S expenditures but exceeding this amount will require ample justification. These funds are to be expended by subgrantees in direct weatherization activities. While required as a percentage of the average unit cost, if budgeted separately, the health and safety costs are not calculated into the per-house limitation.

Per-Unit Average Percent: __20__%

California is a large state of diverse climate conditions, with most regions experiencing a relative temperate environment while other microclimates may exhibit a fairly hot, or alternatively cold, seasonal environment. In certain situations represented by the state's more populous (and temperate) locales, the necessity to install health and safety measures often outweighs the need for measures with energy efficient benefit.

Deferral Policy (Provide a detailed narrative of the grantees overall deferral policy):

Deferral may be necessary if health and safety issues cannot be adequately addressed according to WPN 11-6 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. In the judgment of the auditor, any conditions that exist, which may endanger the health and/or safety of the workers or occupants, should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. The grantee should be specific in their approach and provide the process for clients to be notified in writing of the deferral and what corrective actions are necessary for weatherization to continue. The grantee should also provide a process for the client to appeal to a higher level in the organization.

If, in the judgment of field personnel, any condition exists which may endanger the health and safety of workers or occupants, weatherization must be deferred until the condition is corrected. Deferral takes place upon discovery, or as soon as practicable, of circumstances giving rise to feasibility of a given measure or other issue causing the installation of weatherization measures to be deferred; however, hazards shall be resolved if feasible and within the scope of the WAP. Crews and contractors are expected to consider all reasonable options on behalf of the client before making the decision to defer. When deferral must occur, the client shall be referred to local rehabilitation or assistance programs (when available) to assist the client in correction of the deferral issue.

When deferred, a CSD Weatherization Deferral Form is required, with a client signature (to the extent possible) to confirm understanding of the deferral condition.

Procedure for Identifying Occupant Health Concerns:
Procedures must be developed and explained on how information is solicited from clients to reveal known or suspected occupant health concerns as part of the initial application for weatherization, additional screening of occupants again during the audit, and what steps will be taken to ensure that weatherization work will not worsen the health concern.

Procedure described in section titled Occupant Preexisting or Potential Health Conditions, below.

Documentation Form(s) have been developed (Check Yes or No):
Documentation forms must be developed, include the client's name and address, dates of the audit/assessment and when the client was informed of a potential health and safety issue, a clear description of the problem, a statement indicating if, or when weatherization could continue, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options

Yes ☑

No ☐

Completing the General Issue Tables below, or something similar, for each health and safety category will help explain to DOE how the WPN 11-6 requirements will be addressed.

Air Conditioning and Heating Systems

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☐ Alternative Guidance ☑	Central forced air furnaces (FAU), wall, floor and freestanding furnaces may be repaired, or replaced (if cost to repair is more than 50% of the cost to replace the unit). Central air conditioning system, and window/wall air conditioners may be repaired, or replaced (if cost to repair is more than 50% of the cost to replace the unit). Heating/cooling units may be serviced (repaired/replaced) when the unit would provide heating or cooling for the dwelling unit being weatherized/served; AND one or more of these apply: ▪ No heating/cooling unit exists. ▪ As verified by a qualified technician, the existing appliance poses a Health and Safety hazard or is inoperable; OR ▪ Energy Efficiency Upgrade is proven by energy audit with a SIR of 1.0 or greater. Other installation requirements apply for all listed systems and are described in detail in the CSD Field Guide Section 6.3. Priority for repair/replacement is given to the elderly, disabled, families with children and occupants with other medical conditions.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used for repair or replacement of air conditioning and heating systems, and their components, pursuant to applicable CSD Field Guide and the CSD Weatherization Installation Standards for the DOE WAP.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If measure is determined to fall outside the feasibility criteria as described in the CSD Field Guide, the measure will not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

FAU and air conditioner assessment, service, repair or replacement is conducted by a qualified technician or licensed HVAC contractor, with any such services carried out only in conjunction with weatherization services being performed in the dwelling. If any heating unit is gas fueled, combustion appliance safety testing is required.

In accordance with CSD's Asbestos Policy, when ducts are insulated with ACM, work may not be performed that would cause asbestos to become unencapsulated or discharged into the air. Actual condition of the ACM material shall dictate appropriate action in accordance with CSD's Asbestos Policy. Ducts that are made of asbestos shall cause duct pressure testing and duct repair/replacement/sealing to become unfeasible. Vermiculite insulation material may be tested in accordance with the CSD Asbestos Policy to determine whether asbestos is present. If ACM is present, it shall not be disturbed for the repair/replacement/sealing of ducts.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Nonfeasibility criteria includes, without limitation, the unit not being primary heating (or cooling) source, not serving dwelling being weatherized, replacement is an HVAC alteration where California Code of Regulations Title 24 cannot be met, an environmental

hazard exists that cannot be made safe (see CSD Asbestos Policy), or location of unit is in a structurally unsound area that cannot be accessed or repaired without undue hazard to client or workers.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

When asbestos material is identified, client shall be notified and referred to a local asbestos abatement agency, when such local service exists.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Online pre-training followed by classroom instruction for basic weatherization, duct blaster, blower door and combustion appliance safety is required of weatherization workers who analyze existing and modified dwelling heating and cooling systems. Measures related to HVAC systems are installed to degree deemed appropriate for the individual dwelling pursuant to and as described in the CSD Field Guide measure-specific policies and CSD WIS (Sections 24, 25, 26, 29, 31, and 32), without limitation.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Clients are given verbal and written instructions on operation and maintenance of the installed or repaired system(s), including explanation of unit operation, review of the written instructions, routine maintenance requirements (if any) and is provided with applicable manufacturer warrant(ies). In the event a bulk fuel tank may require removal, the client is advised to contact the propane company responsible for past propane service.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

All replaced equipment and parts are removed from the premises and properly disposed of, *unless* specified otherwise in the home improvement contract. Refrigerant is recovered and all hazardous waste materials are disposed of in conformance with federal and state regulations and local code.

Air Conditioning Installation (as specific to installation as a health and safety measure): Provide a narrative on implementation protocols of air conditioning repair, replacement, and installation including justification for allowability that includes climate justification with degree days and how to define at-risk occupants

Installation performed in accordance with CSD Field Guide measure-specific policies and CSD WIS Section 29 (Evaporative Cooling), CSD WIS Section 31 (Central units) or CSD WIS Section 32 (window/wall units).

Heating System Installation (as specific to installation as a health and safety measure): Provide a narrative on implementation protocols of Heating System repair, replacement, and installation including justification for allowability that includes climate justification with degree days

Installation performed in accordance with CSD Field Guide measure-specific policies WIS Section 24 (FAU) or CSD WIS Section 25 (wall/floor/freestanding units) or CSD WIS Section 26 (wood burning space heating).

Appliances and Water Heaters

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☐ Alternative Guidance ☑	Gas and electric water heater repair or replacement, and installation of necessary related items (e.g., gas flex lines) may be part of the weatherization measures for a dwelling. An existing defective water heater is replaced, regardless of age, when it has a water leak, or is non-operational or poses an electrical or combustion hazard, and repair cost exceeds 50% of replacement cost. Specific installation requirements apply given individual circumstances and are described in detail in the CSD Field Guide measure-specific policies and CSD Weatherization Installation Standards (CSD WIS Sections 42 and 43) manual, without limitation.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used for repair or replacement of storage or tankless water heaters and required related items to safely repair or install the water heater pursuant to applicable CSD Field Guide and CSD WIS for the DOE WAP.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If a measure is determined to fall outside of the feasibility criteria as described in the CSD Field Guide, the measure shall not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Gas water heaters must comply with any local code, the efficiency requirements in California Code of Regulations Title 24 (Title 24), be manufactured to ANSI Z21.10.1 specs with a minimum R-12 internal insulation (unless external insulation is present). Venting must be in conformance with manufacturer's instructions and local code and heaters must undergo combustion gas appliance safety testing.

Electric water heaters must comply with local code, the minimum Energy Factor (EF) requirements of Title 24, with a minimum of R-16 internal insulation (unless external insulation is present), and comply with ASHRAE 90.1b and UL 174.

All water heaters must be sized in accordance with CSD WIS requirements, have drain pans and temperature and pressure regulation, and include seismic bracing (when the water heater is replaced and when required by local code). Thermostats are set at 120° F (unless higher temperature requested by client or is required for medical reasons.). House water line pressure is checked, if area commonly known to experience high water pressure, to ascertain within acceptable limits, and a house line pressure

regulator is installed if appropriate.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Deferral criteria for the replacement of the water heater includes, without limitation, the existing water heater is functioning properly, is inaccessible, can be repaired (cost to repair not exceeding 50% of cost to replace), a structure cannot support the water heater, or drain pan or T&P valve cannot be installed, or a drain line cannot be terminated to the outside.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. The CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Applicable codes require licensed plumber and/or electrician to install storage or tankless water heaters. Existing and replacement gas water heaters must be combustion appliance safety assessed for leakage, proper venting, and draft by individuals trained and certified to perform such assessments.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

Operation of all user-accessible controls is explained to the client, including routine maintenance routine recommended by the manufacturer. Manufacturer's written instructions and warranty documents are provided to the client. Information is provided on proper disposal of water heaters.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

All replaced equipment and parts are removed from the premises and disposed of properly in accordance with the requirements of the local jurisdiction.

Asbestos - in siding, walls, ceilings, etc.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Removal of siding is allowed to perform energy conservation measures. All precautions must be taken not to damage siding or unencapsulate asbestos-containing material. Asbestos siding shall never be cut or drilled. It is recommended, where possible, to insulate through home interior when ACM siding is present on the exterior.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds may be used to remove and reinstall siding that may contain asbestos in order to install insulation in walls, ceilings, under floors, etc.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Upon inspection, siding that is determined to likely be an asbestos containing material (ACM) and cannot be removed without damage that may cause breaking or otherwise release dust particles-- and it is unfeasible to drill and fill from indoors (e.g., client refuses)-- insulation shall not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

CSD Asbestos Policy shall be adhered to and testing allowed as noted in the policy. In no case shall a Subgrantee authorize any removal or disposal of asbestos by individuals who are not certified to do such work. Exception: Careful removal of a small sample for testing by properly-trained personnel is allowed. Weatherization Subgrantees and subcontractors are responsible for providing health and safety training (including asbestos recognition training) for their field personnel. Properly trained weatherization personnel may remove samples of material for laboratory testing to determine if the sample is, in fact, an ACM.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

When asbestos is known to be present, Subgrantees are required to inform the building owner and to create a work scope that ensures weatherization will not cause harm to occupants or installers. Where work cannot be performed safely, it must be deferred until hazardous conditions are resolved by a licensed abatement contractor and copies of the official reports are obtained.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Clients shall be referred to local asbestos abatement programs, when available, and when the presence and level of asbestos prohibits weatherization work.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Field personnel shall obtain training in the recognition of common ACM including, without limitation, siding, ceilings, pipe, duct work, and vermiculite. Weatherization personnel or appointed representatives shall not take any action that will disturb, expose, release, or discharge ACM.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

Client shall be informed of potential ACM and potential hazard generation if siding, ceiling, etc., with ACM is disturbed to the extent that fiber dis-encapsulation occurs and dust or fragmentation occurs. Client is informed of precautions that will be taken if siding is to be removed/replaced to accomplish weatherization measure(s).

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

If siding has been removed and reinstalled, all debris shall be thoroughly cleaned up and work areas cleaned using a high efficiency particulate air (HEPA) vacuum. Other types of disposal for ACM are outside the scope of the WAP.

Asbestos - in vermiculite

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	When vermiculite is present, unless testing determines otherwise, field personnel shall take precautionary measures as if it contains asbestos, such as using personal air monitoring while in attics. Where testing determines that vermiculite is asbestos-containing: ▪ Duct test and sealing activities that will not disturb ACM are allowed. ▪ Pressurized blower door test with registers and grilles blocked—and shell sealing—are allowed. Encapsulation of vermiculite is not an allowed activity under any circumstances, and the presence of asbestos-containing vermiculite (or presumed ACM) renders unfeasible all weatherization activities that would disturb the material. Encapsulation of certain more stable materials (such as transite pipe, or asbestos-containing tape at registers, boots, etc.) may be considered for encapsulation by CSD on a case-by-case basis, and depending upon the specific program to be affected. CSD's PROCUDURE technical team and third-party technical contractor will review all requests (including written narrative, photographs, assessment documentation, etc.) before making any decision to allow limited encapsulation, in compliance with EPA, CSLB, Cal-OSHA, and any other local requirements.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds may be used to test vermiculite for presence of asbestos. DOE funds may be used for encapsulation of vermiculite if such encapsulation work is deemed feasible by CSD and work will be performed by an Asbestos Hazard Emergency Response Act (AHERA)-certified asbestos control professional.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Upon attic assessment/inspection, if vermiculite is discovered, it shall be presumed that vermiculite is asbestos-containing material (ACM). If testing is not feasible, attic air infiltration, insulation measures, and installation of any other measures that would disturb the vermiculite material shall not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Weatherization crews are likely to encounter asbestos-containing materials sometime during the course of their fieldwork. The possibility is greatest when sealing and insulating duct systems in older homes. Precautions shall be taken to minimize exposure to asbestos fibers. Field personnel are encouraged to learn to recognize suspected asbestos containing materials (ACM). Weatherization personnel or appointed representatives shall not take any action that will disturb, expose, release, or discharge any ACM. This includes (attempted) removal or disposal of asbestos. Due diligence shall be taken when working on building components which may contain ACM. All applicable CAL/OSHA regulations pertaining to asbestos and asbestos-containing materials and the CSD Asbestos Policy shall be followed including, without limitation, the use of personal protective equipment and exposure monitoring requirements.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

When friable asbestos is present, or installation of a measure (including performance of a dwelling diagnostic) would violate the CSD Asbestos Policy, the measure or weatherization work shall be deferred in accordance with the CSD Asbestos Policy.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate abatement contractor or entity to assist a client in remedy or abatement of potential ACM hazard related to vermiculite.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Field personnel shall obtain training in recognition of common ACM including, without limitation, siding, ceilings, pipe, duct work, and vermiculite. Weatherization personnel or appointed representatives shall not take any action that will disturb, expose, release, or discharge ACM.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

Client/occupant notified of potential ACM vermiculite per CSD Weatherization Deferral Form and instructed not to disturb suspected ACM. Client shall be advised that abatement is outside of the WAP scope; however:

- If the client has the material removed/abated by a licensed abatement contractor, weatherization measure(s) in the location are

feasible.
- If not removed by a licensed abatement contractor, measure is permanently deferred.

Asbestos safety information shall be provided, and if testing is performed to confirm presence of asbestos, the client/occupant is notified of the results of such testing.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Removal of vermiculite ACM is not allowed.

Asbestos - on pipes, furnaces, other small covered surfaces

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☐ Alternative Guidance ☑	If asbestos-containing materials (ACM) are present, all duct, furnace, or other-related activities shall be performed in strict conformance with the CSD Asbestos Policy and CSD WIS Section 1 (Health and Safety Requirements). As described in the Policy, all ACM shall be categorized according to Location, Material Type, and Condition Level. Based upon these factors, all diagnostics and weatherization activities shall be limited in accordance with the CSD Asbestos Policy. 01b Health and Safety Asbestos Polic

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used to perform/install weatherization measures consistent with guidance, above.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If measure is determined to fall outside the feasibility criteria in the CSD Field Guide or per this guidance, the measure shall not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Weatherization crews are likely to encounter asbestos-containing materials sometime during the course of their fieldwork. The possibility is greatest when sealing and insulating duct systems in older homes. Precautions shall be taken to minimize exposure to asbestos fibers. Field personnel are encouraged to learn to recognize suspected asbestos containing materials (ACM). Weatherization personnel or appointed representatives shall not take any action that will disturb, expose, release, or discharge any ACM. This includes (attempted) removal or disposal of asbestos. Due diligence shall be taken when working on building components which may contain ACM. All applicable CAL/OSHA regulations pertaining to asbestos and asbestos-containing materials and the CSD Asbestos Policy shall be followed including, without limitation, the use of personal protective equipment and exposure monitoring requirements.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

When any duct or forced air unit component affected by this guidance is found to be damaged, deteriorated, or disconnected, the client is advised to have the item inspected by a qualified licensed contractor (AHERA-certified asbestos control professional). Any measure related to the duct system is deferred pending such qualified inspection and abatement.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of potential hazard related to ACM duct systems.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Field personnel shall be trained in recognition of common ACM including, without limitation, siding, ceilings, pipe, duct work, and vermiculite. Weatherization personnel or appointed representatives shall not take any action that will disturb, expose, release, or discharge ACM.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Client/occupant notified of potential ACM vermiculite per CSD Weatherization Deferral Form and instructed not to disturb suspected ACM. Client shall be advised that abatement is outside of the WAP scope; however:
- If the client has the material removed/abated by a licensed abatement contractor, weatherization measure(s) in the location are feasible.
- If not removed by a licensed abatement contractor, measure is permanently deferred.

Asbestos safety information shall be provided, and if testing is performed to confirm presence of asbestos, the client/occupant is notified of the results of such testing.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Any ACM removed from small covered surfaces by a certified AHERA asbestos professional is removed by such professional from the premises and disposed of properly and in accordance with the local jurisdiction, CAL/OSHA, and California Contractors' State License Board requirements.

Biologicals and Unsanitary Conditions - odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☐ Alternative Guidance ☑	Biological health hazards are those that are caused by molds, viruses, bacteria, insects, rodents, and other animals. The remediation of these hazards or potential hazards is not a weatherization agency responsibility; however, program workers may encounter these conditions and must use appropriate safety equipment to protect themselves to the extent possible. Caution should be taken when selecting air tightness limits for dwellings with these problems. If extensive, weatherization services may need to be deferred until the problem can be referred to another agency that can take remedial action.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If any of the described conditions exist to the extent they are deemed to pose a health and safety risk to the client or workers, weatherization measures affected by such condition(s) are not feasible unless condition(s) are remedied.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Deferral and subsequent removal of condition(s) by qualified third party.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

If any of the described conditions exist and pose a health and safety risk to the client or workers, weatherization measures are deferred.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Field personnel shall be provided with training, guidance from the CSD Field Guide and CSD WIS (including but without limitation, CSD WIS Section 1 Health and Safety Requirements), and use personal experience for guidance in determination if any described issue may be present and determination of what referral may be appropriate.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

See Standards for Referral, this section, above.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Not applicable.

Building Structure and Roofing

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Homes with conditions that require more than incidental repair shall be deferred.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds may be used for assessment of dwelling/property prior to installation of weatherization measures and for incidental (minor) repairs necessarily associated with installation of weatherization measures.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If measure is determined to fall within nonfeasibility criteria as described in the CSD Weatherization Installation Standards (CSD WIS) manual and this guidance, the measure shall not be installed.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

During initial assessment, including visual inspection, if a structural or roof issue is observed and a determination made that Limited Home Repair will enable installation of weatherization measures and is within the program scope, such repair will be performed and

appropriate measures installed pursuant to the CSD Field Guide measure-specific and deferral policies.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
In the event the building structure or roof is not safe or stable to ensure access to areas necessary for diagnostics, measure installation, or inspection of weatherization services and thus poses a health and safety risk to the client or workers, weatherization measures shall be deferred.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Deferral takes place upon discovery of circumstances described in Standards for Deferral, this section, above. Upon discovery or as soon as practicable, the client is informed in writing of the structurally compromised area(s) and is referred to appropriate local, state or federal agency that may assist in correction of the structural issue, e.g., local housing and community development department, local health department, local utility company, etc.. If a condition is present that presents a hazard or unsafe condition affecting the health and safety of workers or clients/occupants, the hazard is resolved if feasible and within scope of DOE WAP. Further, work conducted in such area (e.g., installation of measure or repair of an affected area) installer must document the hazard in the home assessment in the client file, including notification to the client.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
Field personnel shall use training, experience, and reference the CSD Field Guide 3.12.1 "Deferral" section and CSD WIS including, without limitation, WIS Section 1 (Health and Safety Requirements) for guidance in determination of what structural issue may be present and determination of what referral may be appropriate.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
See Standards for Referral, this section, above.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Any parts or debris related to minor envelope repair is removed from the premises and disposed of properly.

Code Compliance

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☑ Alternative Guidance ☐	Correction of preexisting code compliance issues is not an allowable cost other than where weatherization measures are being conducted. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures. Condemned properties and properties where "red tagged" health and safety conditions exist that cannot be corrected under this guidance should be deferred.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
DOE funds are used only for code compliance work directly associated with installation of weatherization measures.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Preexisting code issues are beyond the scope of DOE WAP and are not brought into compliance unless directly associated with installation of weatherization measures.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
Local and state codes are in full force and effect under the DOE WAP. Subgrantees must ensure weatherization-related work conforms with applicable codes in jurisdictions where the work is performed. Assessor and weatherization crew observe work site and, if feasible, weatherize dwelling to extent health and safety may be maintained for client and workers.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
If installation of weatherization measure(s) require correction of preexisting code issues that are not directly associated with installation of weatherization measure(s), affected weatherization measure(s) are deferred.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of code compliance issue.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
Weatherization crews use experience and reference to the CSD Field Guide measure-specific policies and the CSD WIS measure-specific section including, without limitation, Section 1(Health and Safety Requirements) for guidance in determination what code compliance may be required.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
See Standards for Referral, this section, above.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Not applicable.

Combustion Gases

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Proper venting to the outside for combustion appliances, including gas dryers is required. Correction of venting is allowed when testing indicates a problem.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used to perform combustion appliance safety (CAS) inspections, including draft and spill testing, and testing of correction or repair of faulty venting.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Pre-weatherization unfeasibility occurs if a gas appliance is NOT properly abandoned (flex connector removed and gas valve capped, or valve is removed and gas line is capped), appliance is inaccessible, or client waives combustion appliance safety diagnostic services.
Post-weatherization unfeasibility occurs if duct sealing was not performed and shell leakage was not reduced enough to justify post-weatherization CAS testing, as described in the CSD Field Guide Appendix A., Combustion Appliance Safety Protocol.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

CAS inspections are performed by experienced technicians for all dwelling units to be weatherized that are equipped with fuel-burning appliances in order to identify hazardous combustion issues. Testing each appliance and inspection of venting will dictate feasibility of installing infiltration measures. Test equipment (e. g., Monoxors and Fyrites) is maintained and calibrated in accordance with manufacturer's recommendations. See also CSD Field Guide Appendix A., Combustion Appliance Safety Protocol.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

If a CAS condition requiring immediate services (CAS Hazard) or other CAS Fail is present that cannot be repaired under the scope of the program, only non-infiltration measures shall be installed. Clients are informed the appliance does not meet DOE WAP guidelines, and they are advised to not use the appliance until repaired or replaced. Offer to abandon or turn-off appliance may apply (see CSD Field Guide Appendix A., Combustion Appliance Safety Protocol.). Further, if measure is determined to fall within nonfeasibility criteria as described in the CSD Field Guide measure-specific policies, the measure shall not be installed (see also Beyond Scope of DOE WAP, above).

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

When a hazardous condition appears to be present, the client and owner/agent (if a rental) is notified, the CSD Weatherization Deferral Form is completed and signed by the client, and the Subgrantee may refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client with a required examination of the hazard or condition by a qualified professional. If extremely strong odors are present in the dwelling, a call to notify the utility company is made from outside the unit.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Online pre-training followed by classroom instruction for basic weatherization, duct blaster, blower door and combustion appliance safety is required of weatherization workers who analyze existing and modified dwelling systems. Measures related to CAS and gas venting are tested and installed to degree deemed appropriate for the specific dwelling pursuant to and as described in CSD WIS, without limitation, Sections 24, 25 and 26 and in CSD Field Guide Appendix A., Combustion Appliance Safety Protocol.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Client/occupant is provided with combustion appliance safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of carbon monoxide. See also, Standards for Referral, this section, above.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

All replaced equipment or parts are be removed from the premises and disposed of properly.

Combustion Gas Problem Discovery: Provide a narrative describing the process to be followed when combustion gas testing reveals health and safety concerns.

See Standards for Referral, this Section, above.

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

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6	Major drainage issues are beyond the scope of the Weatherization Assistance Program. Homes

☑ Alternative Guidance ☐	with conditions that may create a serious health concern that require more than incidental repair should be deferred. See also, Mold and Mildew guidance, below.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures and for incidental (minor) drainage repairs necessary to ensure worker and client health and safety and when associated with installation of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Drainage issues beyond the scope of DOE WAP are deferred.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Remedy addressed through Standards for Deferral and Standards for Referral, this section, below.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Observed (visual inspection) drainage issue(s) requires repair or correction that exceeds incidental (minor) scope necessarily associated with installation of weatherization measures.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Assessors and weatherization crews use training, experience and reference to the CSD Field Guide and CSD WIS Section 1 (Health and Safety Requirements) for guidance in determination of drainage issues and determination of what minor repairs or referral may be appropriate.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
Client is informed on importance of cleaning and maintaining drainage systems, and provided information on proper landscape (drainage) design.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Not applicable.	

Electrical, other than Knob-and-Tube Wiring

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Minor upgrades and repairs are allowed when necessary to safely perform installation of weatherization measures.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for minor upgrades and repairs to enable safe installation of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If electrical upgrade or repair is determined nonfeasible (unsafe electrical hazard exists) a specific weatherization measure will not be installed.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Minor electrical upgrade (e.g., switch) or repair (e.g., receptacle) may be effected to safely install weatherization measures or appliances requiring electrical power. Voltage drop and voltage detection testing are allowed.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
More than minor electrical upgrade or repair is required to install a weatherization measure but the work needed does not represent an unsafe electrical hazard.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
CSD Health and Safety Requirements (CSD WIS Section 1) and CSD Field Guide Section 3.16 on Electrical Safety Evaluation describe common electrical issues that may be encountered in the field, and the CSD WIS specific safety precautions related to	

installation of specific measures involving electrical connections or appliances are followed. In addition to referencing these program materials, field personnel use prior training and experience to determine if an electrical circumstance may present a hazard and if deferral/referral is appropriate.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

If applicable to electrical upgrade or repair and as further described in the CSD WIS for a specific appliance, client is provided verbal and written instructions for operation and any manufacturer's or contractor's written warranties. Client is also provided information on dangers associated with overloading household circuits and basic electrical safety risks.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Any parts or debris related to minor upgrade or repair is removed from the premises and disposed of properly.

Electrical, Knob-and-Tube Wiring

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Minor upgrades and repairs necessary for weatherization measures, and where the health or safety of the client/occupant is at risk, are allowed. Must provide sufficient over-current protection prior to insulating over knob-and-tube wiring.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used for an electrical contractor (California contractor specialty license type C-10) inspection, certification and reasonable repair of knob-and-tube (K&T) wiring prior to installation of insulation of ceiling, wall, or floor in a dwelling containing such wiring.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

If knob-and-tube wiring is present and function but cannot be certified safe by a C-10 electrical contractor, or K&T wiring is present and abandoned but has not been disconnected or certified abandoned by a C-10 electrical contractor, or if prohibited by local code, insulation measures are deemed unfeasible and deferred. Rewiring of dwelling is a major renovation and beyond scope of DOE WAP.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

"Notice of Survey by Electrical Contractor" (Survey) by C-10 electrical contractor that (1) existing K&T wiring found to be in good condition, with no evidence of deterioration, improper connection or splices, or improper over-current protection, or (2) existing K&T wiring found to be in poor condition and was brought up to acceptable standards by installation of tamperproof over-current protection with fuses, or installation of new service panel with breakers. See also CSD Weatherization Installation Standards (CSD WIS) manual, Section 20 and Appendix K.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Insulation measures are deferred if any condition described in Beyond Scope of DOE WAP, this section, above, exists. No wall insulation shall be installed in locations where it is determined that wall knob-and-tube is present.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of potential hazard related to K&T wiring.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Assessors and weatherization workers educated on potential hazards related to K&T wiring and requirements (CSD WIS Section 20 and Appendix K) that a Survey be conducted prior to insulating of area containing K&T wiring. In addition to referencing the CSD WIS, assessors and weatherization crews use prior training and experience to determine if an electrical circumstance may present a hazard.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

Copy K&T of "Notice of Survey by Electrical Contractor" must be given to the client after it is signed, following the C-10 inspection. Warning placard(s) in English and Spanish stating caution is required at each entrance of insulated areas because of covered electrical wiring posted near any openable (currently used or not) entrance to attic (if ceiling insulation installed) or in crawlspace (if floor insulation installed). Client is also provided information on over-current protection, dangers associated with overloading household circuits and basic electrical safety risks.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Any parts or debris related to minor upgrade or repair is removed from the premises and disposed of properly.

Fire Hazards

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and

comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Correction of minor fire hazards is allowed when necessary to safely perform weatherization. Correction of fire hazards beyond the scope of DOE WAP must be deferred.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If a weatherization measure cannot be installed because a fire hazard exists which cannot easily be remedied by workers, the installation is beyond the scope of DOE WAP and is deferred. If removal of a minor fire hazard is not allowed by the client, the weatherization measure must be deferred.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
If necessary to safely perform weatherization measures minor fire hazards may be remedied by weatherization workers, e.g., flammable materials stored around and above water heater or furnace, are removed and clients/occupants made aware that it is extremely important to keep combustibles away from appliances. Combustion and ventilation air (CVA) vents that are obstructed by household items are cleared, and clients/occupants shall be made aware that it is extremely important to keep all vents clear. Fire hazards beyond the scope of DOE WAP are deferred.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
If a fire hazard is outside the scope of DOE WAP any weatherization measure is deferred pending remedy of the fire hazard by a third party.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of potential fire hazard.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
All Subgrantees are required to promote safe working conditions in the shop and in the field. Field personnel are required to participate in regular safety trainings and meetings. In the field, CalOSHA requirements, the CSD Health and Safety Requirements (CSD WIS Section 1), and the CSD Field Guide and measure-specific safety precautions shall be followed as they apply to weatherization activities. Workers must be aware of, and practice, all aspects of health and safety awareness including, without limitation, identification and safe removal of minor fire hazards.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.	
Clients/occupants are informed of any fire hazards observed during the dwelling assessment or discovered during installation of weatherization measures. See also Standards for Remedy, this section, above.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Not applicable.	

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

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	When risk is not posed to workers in the handling of such material with appropriate personal protective equipment, removal of pollutants is allowed and is required. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If a weatherization measure cannot be installed because a pollutant hazard poses a risk to workers and cannot easily be remedied by workers, the installation is beyond the scope of DOE WAP and is deferred. If removal of a pollutant hazard is not allowed by the client, the weatherization measure must be deferred.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
If necessary to safely perform weatherization measures pollutant hazards may be remedied by weatherization workers. Removal of	

pollutant hazards beyond the scope of DOE WAP are deferred.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
If a pollutant hazard is outside the scope of DOE WAP any weatherization measure is deferred pending remedy of the hazard by a qualified third party.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of the pollutant hazard.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
All Subgrantees are required to promote safe working conditions in the shop and in the field. Field personnel are required to participate in regular safety trainings and meetings. In the field, CalOSHA requirements, the CSD Health and Safety Requirements (CSD WIS Section 1), and the CSD Field Guide specific safety precautions shall be followed as they apply to weatherization activities. Workers must be aware of, and practice, all aspects of health and safety awareness including, without limitation, identification and safe removal of common household pollutants.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
Clients/occupants are informed of any pollutant hazards observed and associated risks.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Any household pollutant which poses a risk to field personnel and occupants shall be removed, if feasible, from the work area, or from the premises for proper disposal.

Injury Prevention of Occupants and Weatherization Workers – Measures such as repairing stairs and replacing handrails.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	In addition to guidance referenced in Occupational Safety and Health Administration (OSHA) and Crew Safety section, below, Subgrantees perform inspection/assessment of each weatherization job site to identify existing potential health and safety concerns affecting worker and client safety, and follow the Weatherization Deferral Protocol specified in CSD WIS Section 1 (Health and Safety Requirements). Correction of hazards and unsafe conditions affecting the health and safety of workers or clients/occupants shall be resolved when minor repairs are feasible, within the scope of the DOE WAP, and necessary to effectively weatherize a dwelling.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used to repair physical hazards related to the health and safety of workers and clients if such minor repair is necessary to effectively install weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
When correction of a safety-related problem or hazard cannot be accomplished because it exceeds the scope of the DOE WAP, the client/occupant is notified (see Client Education section, below) and weatherization measures affected by the problem or hazard are deferred.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Health and safety-related expenditures are allowed when the elimination of observed hazards is necessary for the safe installation of weatherization measures and cost for such elimination fall within the scope of the DOE WAP.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Health and Safety issues requiring corrections that exceed the scope of the DOE WAP, i.e., are beyond minor repair or installation necessary to effectively weatherize the dwelling shall not be attempted. See also nonfeasibility for specific measures in the CSD WIS.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery of circumstances described in Standards for Deferral, this section, above. Upon discovery or as soon as practicable, the client is informed of the issue and is referred to program, agency or outside assistance if the Subgrantee can identify an appropriate contactor or entity to assist client in remediation of the health and safety condition or hazard causing the deferral.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
All Subgrantees are required to promote safe working conditions in the shop and in the field. Field personnel are required to participate in regular safety trainings and meetings. Workers must be aware of, and practice, all aspects of health and safety awareness.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not	

explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
When correction of a safety-related problem or hazard cannot be accomplished because it exceeds the scope of the DOE WAP, the client/occupant and owner/agent shall be notified as described in Standards for Deferral and Standards for Referral, this section, above. When the problem or hazard prevents installation of any weatherization measure, notification shall be in writing.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
ny parts or debris related to minor repair is removed from the premises and disposed of properly.

Lead-Based Paint

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☑ Alternative Guidance ☐	All personnel shall follow EPA's Renovation, Repair and Painting (RRP) Rule. In addition to RRP, weatherization requires all weatherization crews working in pre-1978 housing to be trained in Lead Safe Weatherization (LSW), Department of Housing and Urban Development requirements, and the lead program requirements for the California Department of Public Health. Deferral is required when the extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for lead safe weatherization (LSW) compliance related actions required by the RRP Rule during installation of weatherization measures in pre-1978 dwellings.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If weatherization measure considered for installation disturbs painted surfaces of a pre-1978 dwelling to extent containment is impractical or nonfeasible the measure will not be installed.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Deferral, or deferral and referral.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Deferral is required when the extent and condition of lead-based paint in the house would potentially create further health and safety hazards.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
ll weatherization crews working on pre-1978 homes must receive LSW training and be accompanied by an EPA Certified Renovator. CSD monitors/inspectors must be Certified Renovators and receive LSW training.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
All client/occupant notification and education requirements contained in the RRP Rule must be followed including, without limitation, providing client/occupant with the current EPA pamphlet *The Lead Safe Certified Guide to Renovate Right*.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
All applicable containment, clean up and disposal policies and procedures identified and described in the RRP Rule, California Department of Public Health Lead Hazard Awareness program, and Department of Housing and Urban Development requirements must be followed.	
Lead Based Paint Compliance: Provide a narrative describing how RRP and LSW implementation will be conducted and how the grantee will verify compliance. The explanation should clearly show an understanding that LSW and RRP are separate requirements and both are required to be met.	
All weatherization crews working on pre-1978 homes receive LSW training and must accompanied by an EPA Certified Renovator while performing weatherization measures disturbing lead-based painted surfaces. Lead safe weatherization practices are described in the CSD WIS Section 2 (Lead-Safe Requirements). Further, weatherization measures likely to disturb surfaces containing lead-based paint describe precautionary measures in their respective CSD WIS sections. Training compliance and certification (LSW, RRP Certified Renovator, and RRP Certified Firm) is tracked by CSD through training records submitted by individual Subgrantees or third-party training facilities. Subgrantee compliance with LSW and RRP Rule practices is monitored through the Subgrantee client files during regular periodic review.	

Mold and Moisture

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if

the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Dwelling assessment includes a quick check for signs of mold; assessment is not a mold inspection. Testing and identification of specific molds is not a part of the DOE WAP, and the client is provided education on mold and moisture issues. Minor repair may be performed to moisture damaged area if repair will ensure long term stability and durability, of weatherization measures. If the mold or moisture problem is deemed severe enough to make installation of weatherization measures not feasible, weatherization is deferred, with reason for deferral acknowledged by client.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for minor moisture damage repair to enable installation and help ensure viability of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Weatherization will be deferred if mold or moisture problems are so severe they cannot be resolved within the scope of DOE WAP Minor Envelope Repair provisions. Mold testing is not an allowable cost in the DOE WAP.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
When repairs are feasible and possible, moisture problems shall be eliminated at the source. Visual assessment is required and assessment for mechanical ventilation shall be performed prior to final inspection. If source of mold or moisture is eliminated, and repair is within scope of DOE WAP, repairs will be performed to enable effective performance or preservation of weatherization measures being installed.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Weatherization will be deferred if mold or moisture problems present a hazardous condition in relation to weatherization measures, those measures shall not be installed until the problems are resolved. If moisture related of repairs is beyond the scope of DOE WAP Minor Envelope Repair provisions, weatherization measures will be deferred.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist in remediation of the mold or moisture issue.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Field personnel shall use training and experience in determining feasibility of limited home repairs related to moisture damage prior to installation of weatherization measures.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
Client is provided a copy of the current EPA pamphlet *A Brief Guide to Mold and Moisture In Your Home* and signs an acknowledgment of receipt.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Any parts or debris related to minor repair is removed from the premises and disposed of properly.	
Mold Protocols: Provide a narrative describing protocols for addressing mold found in the client's homes. The protocol should include a method of identifying the presence of mold during the initial audit or assessment, notification to the client, and crew training on how to alleviate mold and moisture conditions in homes.	
Assessor may identify mold or moisture issues upon initial dwelling assessment and will note same on the Assessment Form (CSD 540A). The CSD 540A includes a Weatherization Mold Assessment and Release Form that describes the location of any discovered mold or moldy or musty odor, and includes a signed acknowledgment of receipt by the client.	

Occupant Preexisting or Potential Health Conditions

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Field personnel and subcontractors shall take all reasonable steps to prevent accidents and avoid hazardous conditions. Potential safety hazards must be reviewed by the Subgrantee and field personnel before beginning each job, during, and after all weatherization work. Field personnel must: ▪ Conduct an assessment of each weatherization job site to identify existing and potential health and safety concerns. If a person's health is fragile and/or the work activities would constitute a health or safety hazard, the occupants at risk will be required to leave the dwelling during these work activities. Assessment shall specifically include inquiry of client/occupant to reveal known or suspected health concerns. Refer to Section 3.13 of the CSD Field Guide for specific home safety conditions obtained through client interviews. ▪ Perform weatherization activities in a manner which: (a) ensures that client/occupants' and workers' health and safety is protected during all phases of the weatherization process; and (b) avoids subjecting the client/occupants to undue discomfort (e.g., blowing cold/damp air on frail or ill persons by pressurizing the home during winter). ▪ Pay particular attention to elderly and disabled persons, and to young children who may be

	playing in areas where work is being done. ▪ Thoroughly assess the condition of the dwelling, noting all potential hazards. ▪ Post-inspection shall include screening of client/occupant to confirm and update known or suspected health concerns. Failure or inability to take appropriate action(s) necessary of an at-risk client/occupant must result in deferral.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
DOE funds are used to conduct initial screening of applicants and assessment for weatherization services.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
In the event a client's/occupant's health condition cannot by reasonably accommodated (e.g., client/occupant cannot or refuses to leave the dwelling during work activities) installation of weatherization measures are considered nonfeasible and will not be attempted.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
Appropriate remedy depends on health condition disclosed by client/occupant as affecting client/occupant.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
If a client's/occupant's preexisting or potential health condition exists or is discovered prior to or during weatherization, installation of weatherization measures shall not proceed until appropriate action(s) are taken to ensure client's/occupant's health and safety.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
If a client's/occupant's preexisting or potential health condition exists or is discovered prior to or during weatherization, installation of weatherization measures shall not proceed until appropriate action(s) are taken to ensure client's/occupant's health and safety.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
Assessors ask client/occupant to reveal known or suspected health concerns that may affect installation of weatherization measures.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
Based on initial assessment and disclosure by client/occupant related to preexisting or potential health condition, provide client/occupant information of any known risks, and provide contact information of a designated person for client/occupant to contact with any issues.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Not applicable.

Occupational Safety and Health Administration (OSHA) and Crew Safety

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	In general, agency employees and subcontractors performing services under the DOE WAP shall follow the requirements of the Construction Industry Occupational Safety and Health Act (OSHA) Standards (29 CFR 1926/1910), and CalOSHA regulations including, without limitation, Section 6401.7 of the California Labor Code. Each Subgrantee is responsible for the health and safety of its workers. Worker safety is regulated by CalOSHA under California Code of Regulations Title 8, the state Health & Safety Code by the California Department of Health Care Services, Division of Occupational Safety and Health, and the Department of Industrial Relations under state law. Assessments are performed to determine if workers are using safe work practices.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
Alternate funds, if needed, will be used to address this particular health and safety category.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Not applicable.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
Not applicable.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
Not applicable.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Not applicable.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety

categories, like OSHA, require training.

In addition to specific health and safety component related to OSHA, CalOSHA, and listed in each weatherization measure described in the CSD Weatherization Installation Standards (CSD WIS) manual, all weatherization crews, assessors, and subcontractors are expected to work under conditions that do not jeopardize their health and safety. This includes the contractor's offices, shops, warehouses, and the job sites where weatherization activities take place.

Workers must be aware of, and practice, all aspects of health and safety awareness, including, without limitation:

(A) Heat Stress and Stroke Prevention (awareness and prevention);
(B) Tools and Equipment (safety, inspection, use and care);
(C) Proper Clothing;
(D) Dangerous Work Area (identification, ventilation, requirements, precautions, electrical hazards);
(E) Shop/Work Area Hazards (obstacles, aisles and passageways, materials storage);
(F) Ladders (OSHA approved, use, staging);
(G) Electrical Cords (inspection, use, storage);
(H) Carbon Monoxide Poisoning (awareness, locations found, signs of exposure/symptoms);
(I) First Aid Kit and Emergency Aid Information;
(J) Vehicles (safe operations, inspection, repairs);
(K) Drinking Water (importance);
(L) Cleanup (work sites, equipment, facilities, materials, garbage and debris, clean and orderly condition at the end of each day/completion of work);
(M) Personal Protective Equipment (requirements, Subgrantee and worker responsibilities).

Training further described in the CSD WIS Section 1 (Health and Safety Requirements).

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

Not applicable.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Not applicable.

OSHA and MSDS Compliance: Provide a narrative describing procedures for implementation of OSHA and MSDS requirements related to crew and worker safety, how the 10 and 30 hour training requirements will be met, and what the process is for determining if crews are utilizing good safe work practices according to all requirements (EPA, OSHA, etc.).

Subgrantees are required to have an effective Injury and Illness Prevention Program (IIPP) which meets the requirements of all applicable laws and OSHA and CalOSHA regulations, and to ensure any subcontractors hired have a CAL/OSHA-compliant IIPP in place. The Subgrantee person with the authority and responsibility for implementation and administration of the IIPP shall execute a Compliance Certificate attesting to same. At minimum, Subgrantees shall do the following to safeguard workers:

Workers must be aware of, and practice, all aspects of health and safety awareness, including, without limitation:

(A) Comply with applicable provisions of OSHA and CalOSHA regulations, including but not limited to Section 6401.7 of the California Labor Code.
(B) Have in place an Injury and Illness Prevention Program (IIPP), per CalOSHA Construction Safety Orders, Article 3, § 1509, which requires employers to:
(1) Establish, implement and maintain an effective Injury and Illness Prevention Program;
(2) Adopt a written Code of Safe Practices which relates to the employer's operations;
(3) Post the Code of Safe Practices at a conspicuous location at each job site office or be provided to each supervisory employee who shall have it readily available;
(4) Hold periodic meetings of supervisory employees under the direction of management for the discussion of safety problems and accidents that have occurred;
(5) Conduct "toolbox" or "tailgate" safety meetings, or equivalent, with crews at least every 10 working days to emphasize safety. These meetings are to be conducted by supervisory personnel.
(C) Perform an inspection/assessment of each weatherization job site to identify existing and potential health and safety concerns affecting worker safety.
(D) Follow the Weatherization Deferral Protocol specified in CSD WIS Section 1 (Health and Safety Requirements) Deferral Policies when worker health and safety is an issue due to the presence of one or more unsafe or hazardous conditions;

All Subgrantees, field personnel, and subcontractors shall comply with OSHA Hazcom (Hazardous Communication) requirement CalOSHA 5194. Storage containers of hazardous materials shall be clearly labeled to identify the contents and to show appropriate hazard warnings for employee protection.

Safety Data Sheets (SDS) for all materials used in the program shall be kept on file at the central office and in every vehicle used by personnel performing weatherization work for the contractor. The file shall remain at the job site for the duration of all work to ensure that all employees have immediate access to the safety information.

CSD requires field personnel and supervisorial workers to complete an approved OSHA Outreach Training Program on the recognition, avoidance, abatement, and prevention of safety and health hazards in workplaces:

(1) 10-hour training class for all workers.
(2) 30-hour training class for crew leaders.

Pests

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Dangerous pest or insect infestation limits the ability to install weatherization measures. In general, mitigation of such infestation is beyond the scope of weatherization services in the DOE WAP. If during initial assessment of dwelling or during installation of weatherization measures a pest or insect infestation is discovered that cannot easily be remedied by workers, weatherization work is unfeasible and shall be deferred.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Weatherization measures affected by pest or insect infestation are deferred.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Removal of pest or insect infestation and associated prevention measures to reduce likelihood of recurrence are performed by a qualified third party.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Dangerous pest or insect infestation that may cause a health and safety issue for workers or clients requires deferral.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of potential hazard related to the infestation.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Field personnel shall use training, experience and reference, including, without limitation the CSD Field Guide Section 3.14 and CSD WIS Section 1 (Health and Safety Requirements) for guidance in determination if a pest or insect infestation rises to level requiring deferral.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.	
See Standards for Referral, this section, above.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Not applicable.	

Radon

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	The California Department of Public Health (DPH) has published more detailed maps on areas of radon sources. Agencies must contact their local health department(s) to determine if their territories fall within a high risk zone. Additional maps can be found at: www.cdph.ca.gov/HealthInfo/environhealth/Pages/RadoninCalifornia.aspx • Zone 1 counties (generally Santa Barbara and Ventura) have a predicted average indoor radon screening level greater than 4 pCi/L (picocuries per liter) (red zones • Zone 2 counties have a predicted average indoor radon screening level between 2 and 4 pCi/L (orange zones) • Zone 3 counties have a predicted average indoor radon screening level less than 2 pCi/L (yellow zones) By CSD policy, testing for radon is required for all Zone 1 locations (generally Santa Barbara and Ventura counties), and for locations where the local health department indicates the probability of high risk. Tests must be performed according to manufacturer specifications and CSD WIS Section 1, Item 6.3.3.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for installation of vapor barriers and for testing for presence of radon consistent with this guidance.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Except as described in this guidance, radon and other soil gas testing and all forms of remediation or abatement are beyond the scope of weatherization services in the DOE WAP.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	

Vapor barrier installed over exposed dirt if feasible. Testing allowed in locations with high radon potential (EPA currently determines the counties of Santa Barbara and Ventura exhibit highest potential for high average indoor radon levels). Remediation or abatement activities are not within the program scope.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

When the test is mandatory, and the results show a reading of 4 pCi/L or higher, partial deferral of the home is required. Partial deferral requires:

- Completion of the CSD 542 Deferral Form for partial deferral conditions.
- Non-infiltration reduction measures only to be installed, with the exception of duct sealing (duct leaks potentially worsen the issue). Blower door tests are not feasible.
- Assessment for a supply-type mechanical ventilation shall be performed.
- Whenever site conditions permit, install a vapor barrier over exposed dirt, and seal the barrier overlap with the appropriate tape as described in CSD WIS Section 22 and CSD WIS Appendix A for "Floor Insulation". This requirement does not apply for mobile homes.
- Note: Appropriate Personal Protective Equipment (PPE) ,must be worn (per CAL.OSHA) when performing any work in the crawlspace when this radon action level is discovered.

A measure determined to fall within unfeasibility criteria as described in the CSD Field Guide measure-specific policies or this guidance will not be installed. Following any testing, dwellings determined to have high level of radon affecting indoor air quality shall be deferred.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Assessors, inspectors and weatherization workers are provided online training overview of properties and hazards associated with radon and the proper installation of vapor barriers. Further, the current EPA pamphlet *A Citizen's Guide to Radon* is made available.**[**

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.

All clients, irrespective of county location, shall receive and acknowledge receipt (CSD Form 321) of the EPA pamphlet "A Citizen's Guide to Radon" (current edition from: http://www.epa.gov/radon/pdfs/citizensguide.pdf). In no circumstance is radon remediation allowed under the program scope.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Not applicable.

Refrigerant

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Reclaim refrigerant per Clean Air Act 1990, section 608, as amended by 40 CFR 82, 5/14/93.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Alternate funds, if needed, will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Not applicable.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

The replacement of air conditioners and refrigerators requires that Subrgrantees reclaim refrigerant per Clean Air Act 1990, section 608, as amended by 40 CFR 82, 5/14/93. The appliance vendor, de-manufacturing center, or other entity recovering the refrigerant used by the Subrgrantee must possess EPA-approved section 608 Type I or universal certification. Additional local laws may also apply. Subgrantees shall ensure that they have appropriate protocols in place that comply with all standards relating to the disposal of the existing appliances. A written record/description of hazardous materials encountered which required special handling and/or disposal shall be kept in client's permanent file.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Not applicable.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Not applicable.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Subgrantee responsibilities described in the CSD WIS Section 1 (Health and Safety Requirements).
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
If a weatherization measure involves handling of refrigerant clients/occupants are advised not to disturb any refrigerant that may be encountered.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Appliances containing refrigerant are removed from the premises by the installer and disposed of per Standards for Remedy, this section, above.

Smoke, Carbon Monoxide Detectors, and Fire Extinguishers

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	***Carbon Monoxide (CO) Alarms.*** Installation limited to battery-powered alarms and minimum number required to protect all sleeping areas in accordance with the CSD Weatherization Installation Standards (CSD WIS) manual, Section 4. Installation must be in conjunction with other weatherization services. At least one low-level digital display alarms shall be required to protect areas occupied by an adult age 65 or older, a pregnant woman, or a child under 5 years old. Replacement of operable CO alarms is required for units more than 2 years old, or date of manufacture cannot be determined. ***Smoke Alarms.*** Installation may be battery-powered or hard-wired, as applicable, and minimum number required to protect all sleeping areas in accordance with the CSD WIS, Section 5. Installation must be in conjunction with other weatherization services. Replacement of operable smoke alarms is required for units more than 8 years old based on the date of manufacture, or date of manufacture cannot be determined. Other criteria apply for both CO alarms and smoke alarms as described in the CSD WIS and CSD Field Guide measure-specific policies.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for installation of CO alarms and smoke alarms in dwelling units consistent with this guidance and respective CSD WIS sections.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Not applicable.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Existing or installed operable CO alarms and smoke alarms are required in any dwelling unit receiving installation of weatherization measures.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Not applicable.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Not applicable.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Installation shall be trained and performed in accordance with relevant CSD WIS Section.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
CO Alarms. Both verbal and written instructions provided regarding maintenance of alarm, testing of alarm, response to activated alarm, and response to failure signal. Client education and owner's manual are provided regarding carbon monoxide, the effects of CO on the human body, and the symptoms associated with CO poisoning. ***Smoke Alarms.*** Client education and owner's manual are provided regarding alarm maintenance, alarm testing, and response to an activated alarm.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
All debris (including any replaced batteries) are removed from the premises and disposed of properly.	
Smoke/CO Detector Installation: Provide a narrative describing smoke/CO Detector installation parameters and procedures.	
Installation performed in accordance with CSD WIS Section 4 (CO alarms) or CSD WIS Section 5 (smoke alarms). Installation criteria and materials specifications shall be in compliance with the CSD WIS, CSD Field Guide measure-specific policies, and in conformance with the requirements of the local jurisdiction.	

Solid Fuel Heating (Wood Stoves, etc.)

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability.

Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Only wood burning space heaters within the appliance and installation parameters described in the CSD Weatherization Installation Standards (CSD WIS) manual, Section 26 may be installed, and then only when all safety clearances, for the appliance and chimney pipe, can be met in accordance with manufacturer's instructions and applicable codes.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for repair or replacement of work burning space heaters pursuant to CSD WIS Section 26 for the DOE WAP.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If measure is determined to fall within nonfeasibility criteria as described in the CSD WIS, the measure will not be installed. Nonfeasibility criteria for replacement includes, without limitation, home too small for safe wood-burning stove operation, no practical central location for installation, natural gas service is already in place at the site, or client refusal.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
During assessment checks are made to determine that any existing wood-burning stove presents a health and safety hazard, i.e., a combustion appliance safety (CAS) hazard or fire hazard. If an existing primary heating wood-burning appliance is nonoperational, poses a hazard, and the repair cost exceeds 50% of replacement cost and absent a nonfeasiblity condition, the appliance may be replaced with an appropriate unit and in such manner described in the CSD WIS Section 26.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
In the event a CAS hazard exists that cannot be remedied within scope of the DOE WAP, structural issues prevent safe operation, repair, or installation of a wood-burning space heating appliance cannot be accomplished safely, such repair or installation is deferred until any such issue is resolved.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client in remediation of potential hazard or condition causing deferral of any weatherization measure.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Online pre-training followed by classroom instruction for basic weatherization, duct blaster, blower door and combustion appliance safety is required of weatherization workers who and analyze existing and modified dwelling systems. All installations of wood-burning space heaters are performed by licensed contractors.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.	
Manufacturer's operating instructions (owner's manual) are left in dwelling after review with client. Client is instructed in safe operation and proper maintenance of the heating appliance.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Any replaced equipment or parts are removed from the premises and disposed of properly.	

Space Heaters, Stand Alone Electric

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☑ Alternative Guidance ☐	Repair, replacement, or installation is not allowed. Removal is recommended, with client approval in writing.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures, for electrical safety check of space heaters, and may be used for removal and disposal of electric space heaters.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Not applicable.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Required inspection of circuitry to ensure adequate power supply and that no visible electrical hazard is present.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Not applicable.	

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Not applicable.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
All Subgrantees, including assessors, inspectors and weatherization workers are made aware of this guidance.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.
Client is informed of hazards associated with electric space heaters and encouraged to allow removal. If client does not allow removal Subgrantee must collect a signed waiver.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Any parts or debris related to installation of measures or removal of hazards is removed from the premises and disposed of properly.

Space Heaters, Unvented Combustion

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☑ Alternative Guidance ☐	Removal is required, *except* as secondary heat where the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization but may remain until a replacement heating system is in place. Testing for air-free carbon monoxide (CO) is allowed.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used for assessment of dwelling/property prior to installation of weatherization measures, for testing of air-free carbon monoxide (CO), and may be used for removal and disposal of electric space heaters.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
Not applicable.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Check units for ANSI Z21.11.2 label. Testing for air-free carbon monoxide (CO) is allowed in accordance with CSD Field Guide Appendix A (Combustion Appliance Safety Protocol).	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
Installation of weatherization measures will be postponed until an unvented combustion space heater can be removed in accordance with CSD Field Guide Appendix A (Combustion Appliance Safety Protocol).	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Online pre-training followed by classroom instruction for basic weatherization, duct blaster, blower door and combustion appliance safety is required of weatherization workers who analyze existing and modified dwelling heating systems or units. Measures related to combustion appliance safety (CAS) and gas venting are tested and installed to degree deemed appropriate for the specific dwelling pursuant to and as described, without limitation in the CSD Field Guide Appendix A (Combustion Appliance Safety Protocol), and CSD WIS Sections 3, 24, 25 and 26.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
Client is informed of dangers of unvented space heaters, including CO, moisture, nitrogen dioxide (NO_2), and that CO can be dangerous even if a CO alarm does not sound.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Any parts or debris related to installation of measures or removal of hazards is removed from the premises and disposed of properly.	

Space Heaters, Vented Combustion

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐	See guidance for **Air Conditioning and Heating Systems** at page 4, above.

Alternative Guidance ☑	

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Spray Polyurethane Foam (SPF)

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concur with WPN11-6 ☑ Alternative Guidance ☐	Use EPA recommendations (available online at http://www.epa.gov/dfe/pubs/projects/spf/spray_polyurethane_foam.html) when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

DOE funds are used for installation of spray polyurethane foam (SPF) consistent with this guidance, when required by the local jurisdiction.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Not applicable.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Check for penetrations in the building envelope. Sensory inspection inside the home for fumes during application.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

If SPF is the only viable alternative for use in weatherization measure being installed or is required by the local jurisdiction, and SPF cannot be installed in a manner consistent with this guidance, the measure shall be deferred. Field personnel shall ensure that occupants to not have respiratory sensitivities and limit use to applications outside the occupied living space.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Appropriateness and use of particular materials, including gap fillers, is described in the specific section of the CSD Weatherization Installation Standards (CSD WIS) for each measure and in CSD WIS Appendix A (Material Specifications). A Safety Data Sheet (SDS) for all materials used in the program are kept on file at the central office and in every vehicle used by personnel performing weatherization work for the contractor. The file shall remain at the job site for the duration of all work to ensure that all employees have immediate access to the safety information.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Client/occupant shall be notified of plans to use two-part foam and precautions that may be necessary during installation of weatherization measures.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Any parts or debris related to installation of measures is removed from the premises and disposed of properly.

Ventilation

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☑ Alternative Guidance ☐	CSD WAP currently incorporates California Code of Regulations Title 24 and ASHRAE 62.2 standards in determination of necessary natural and mechanical ventilation of weatherized dwellings to ensure healthy air quality.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.	
DOE funds are used to provide natural or mechanical (or both) means of ventilation pursuant to applicable CSD Weatherization Installation Standards (CSD WIS) and CSD Field Guide for the DOE WAP.	
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.	
If measure is determined to fall outside the feasibility criteria as described in the CSD Field Guide measure-specific policies, the measure shall not be installed.	
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.	
Mechanical ventilation is required to be installed in accordance with CSD WIS Section 49 feasibility criteria (based on California Code of Regulations Title 24 and ASHRAE 62.2). In accordance with ASHRAE 62.2 (2013), mechanical ventilation minimum airflow is based on the assumption of 7.5 cfm per person plus 0.03 cfm per square foot of living space. Components related to mechanical ventilation are installed to the degree deemed appropriate for the individual dwelling, pursuant to and as described in CSD WIS Section 49 and the CSD Field Guide measure-specific policies.	
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.	
In the event a CAS hazard or indoor air quality hazard exists that cannot be remedied within scope of the DOE WAP, or structural issues prevent safe installation, the installation is deferred.	
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.	
Not applicable.	
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.	
Online pre-training followed by classroom instruction for blower door, duct blaster, and combustion appliance safety is required of weatherization workers who analyze existing and modified dwelling ventilation systems. Additional online Mechanical Ventilation-specific training is required for all assessors, installers, and quality control inspectors.	
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**. Note:** Some health and safety categories, like mold and moisture, require client education.	
Ventilation fan controls must have a readily-accessible and labeled override control for occupant use. Client is provided a demonstration with verbal instructions for operating any mechanical ventilation system, the manufacturer's written instructions and warranty, and educated on the importance of operating the ventilation system as designed, in order to avoid buildup of indoor air pollutants, and to remove humidity to prevent moisture damage and mold.	
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.	
Any parts or debris related to installation of measures is removed from the premises and disposed of properly.	
ASHRAE 62.2 Compliance: Provide a narrative describing implementation of ASHRAE 62.2, which will be required during the 2012 program year. Grantees must provide justification if making changes to AHRAE 62.2 specific to their housing stock and local considerations.	
CSD WIS mechanical ventilation pre-installation requirements, installation, and post-testing related to air quality is defined by California Code of Regulations Title 24 and ASHRAE 62.2 (2013).	

Window and Door Replacement, Window Guards

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative action/allowability. Include the guidance action/allowability from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.	
Concur with WPN11-6 ☐ Alternative Guidance ☑	Replacement, repair or installation of windows is not an allowable health and safety cost in DOE WAP. Replacement or repair of windows (including sliding glass doors) or exterior doors: (1) That represent exhibit catastrophic leaks may be replaced as an infiltration measure per the CSD Weatherization Installation Standards (CSD WIS) manual. (2) That are efficiency measures may be replaced if cost justified by an energy audit per CSD WIS and CSD Single Family/Small Multifamily Energy Audit Protocol. (3) Is an enclosure door required to separate a combustion appliance (and combustion gasses) from the living space.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
Replacement, repair or installation of windows is not an allowable health and safety cost in DOE WAP. Alternate funding sources will be used to address this particular category, i.e. not health and safety funds.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Replacement or repair of windows or exterior doors may be installed pursuant to the CSD Field Guide, CSD WIS, and this guidance.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
Replacement or repair of windows or exterior doors may be considered as a catastrophic infiltration measure or as a cost justified energy efficiency measures as described in the CSD WIS and this guidance.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
A measure determined to fall outside of feasibility criteria as described in the CSD Field Guide shall not be installed.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Deferral takes place upon discovery, or as soon as practicable, of circumstances described in Standards for Deferral, this section, above. CSD Weatherization Deferral Form, signed by the client, provides an area for Subgrantee to refer client to other programs, agencies or outside assistance if the Subgrantee can identify an appropriate contractor or entity to assist client.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
All Subgrantees, including assessors, inspectors and weatherization workers are made aware of this guidance.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.
Not Applicable.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Any parts or debris related to installation of measures is removed from the premises and disposed of properly.

Other (copy and paste as needed)
Health and Safety Issue: Describe the health and safety category below. Methods for addressing additional energy related health and safety issues must be consistent with DOE guidance.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
Standards for Deferral: Describe when deferral should take place for the specific health and safety category.
Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.
Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.
Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

STATE OF CALIFORNIA

DEPARTMENT OF ENERGY WEATHERIZATION ASSISTANCE PROGRAM

In the Matter of)
)
Public Hearing re: 2015 State)
Plan for the Department of)
Energy Weatherization)
Assistance Program)
_____)

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

SINEX CONFERENCE ROOM

2389 GATEWAY OAKS DRIVE

SECOND FLOOR

SACRAMENTO, CALIFORNIA

WEDNESDAY, APRIL 29, 2015

10:00 A.M.

Reported by:

Peter Petty

APPEARANCES

HEARING OFFICER

Jeff Eastburn, Department of Community Services Development

P R O C E E D I N G S

10:00 a.m.

PROCEEDINGS BEGIN AT 10:00 A.M.

LOS ANGELES, CALIFORNIA, WEDNESDAY, APRIL 29, 2015

HEARING OFFICER EASTBURN: This is the public hearing for the 2015 State Plan for the Department of Energy Weatherization Assistance Program. Good morning. I am Jeff Eastburn of the Department of Community Services and Development. I am the Hearing Officer of today's public hearing on the Draft 2015 State Plan for the Department of Energy and Weatherization Assistance Program for Low-Income Persons.

Today is Wednesday, April 29th, 2015. The time is 10:00 a.m. We are assembling at the Department of Community Services and Development, specifically the Sinex Conference Room on the second floor, to conduct a public hearing to receive testimony from interested parties regarding the proposed Department of Energy Draft State Plan for the 2015 Program Year.

The hearing is being recorded by a Court Reporter, Peter Petty.

An updated draft of the complete State Plan will be made available on the CSD website at www.csd.ca.gov by May 2st, 2015. The text included in the State Plans remain the same with the following exceptions: Change to Text,

section V53, final inspections, page 48. Prior to June 30th, 2015 CSD is currently implementing a training and certification plan to certify a sufficient number of certified inspectors to meet DOE requirements. All completed dwellings will be inspected by certified inspectors by the beginning of the sub-grantees contract term. Refer to attachment Q WPN 14-4, Quality Work Plan Requirements. Attachment Q WPN 14-4, Quality Work Plan, page six,

> "Through this process sub-grantee, CSD and third-party QC inspectors will be in place by the beginning of the sub-grantee's contract term, and no dwelling will be billed to the DOE program without an inspection performed by a certified inspector."

Additional text under section 4.5, Policy Advisory Council Members, page 36, we've added "Jose Atilio Hernandez, LIOB Chair, IDEATE California."

Now is there anyone that has testimony at this time? No? All right. So no testimony. It appears that there are no further comments.

It is now 10:03 a.m. This public hearing is considered closed. CSD will receive written testimony until 5:00 p.m. today, April 29th, 2015. Thank you.

(The Department of Resources adjourned at 10:03 a.m.)

--oOo--

REPORTER'S CERTIFICATE

I do hereby certify that the testimony in the foregoing hearing was taken at the time and place therein stated; that the testimony of said witnesses were reported by me, a certified electronic court reporter and a disinterested person, and was under my supervision thereafter transcribed into typewriting.

And I further certify that I am not of counsel or attorney for either or any of the parties to said hearing nor in any way interested in the outcome of the cause named in said caption.

IN WITNESS WHEREOF, I have hereunto set my hand this 29th day of April, 2015.

PETER PETTY
CER**D-493
Notary Public

TRANSCRIBER'S CERTIFICATE

I do hereby certify that the testimony in the foregoing hearing was taken at the time and place therein stated; that the testimony of said witnesses were transcribed by me, a certified transcriber and a disinterested person, and was under my supervision thereafter transcribed into typewriting.

And I further certify that I am not of counsel or attorney for either or any of the parties to said hearing nor in any way interested in the outcome of the cause named in said caption.

IN WITNESS WHEREOF, I have hereunto set my hand this 29th day of April, 2015.

MARTHA L. NELSON, CERT**367

April 29, 2015

The Sacramento Bee

P.O. Box 15779 • 2100 Q Street • Sacramento, CA 95852

DEPARTMENT OF
COMMUNITY SERVICES & DEVELOPMENT
2389 GATEWAY OAKS DRIVE
SACRAMENTO CA 95833

DECLARATION OF PUBLICATION
(C.C.P. 2015.5)

COUNTY OF SACRAMENTO
STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the County aforesaid; I am over the age of eighteen years, and not a party to or interest ed in the above entitled matter. I am the printer and principal clerk of the publisher of The Sacramento Bee, printed and published in the City of Sacramento, County of Sacramento, State of California, daily, for which said newspaper has been adjudged a newspaper of general circulation by the Superior Court of the County of Sacramento, State of California, under the date of September 26, 1994, Action No. 379071; that the notice of which the annexed is a printed copy, has been published in each issue thereof and not in any supplement thereof on the following dates, to wit:

APRIL 14, 2015

I certify (or declare) under penalty of perjury that the foregoing is true and correct and that this declaration was executed at Sacramento, California, on **APRIL 14, 2015**

(Signature)

NO 170 PUBLIC NOTICE

STATE OF CALIFORNIA
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING
DRAFT 2015 DEPARTMENT OF ENERGY STANDARD STATE PLAN

The State of California's Department of Community Services and Development (CSD) will conduct a public hearing to receive comments on the draft 2015 Standard State Plan for the U.S. Department of Energy Weatherization Assistance Program for Low Income Persons. The hearing is scheduled for Wednesday, April 29, 2015, at 10:00 a.m., at:

Department of Community Services and Development (CSD)
Sinex Conference Room 2nd Floor
2389 Gateway Oaks Drive
Sacramento, CA 95833

Persons presenting oral testimony are requested to provide a written copy of their presentation at the conclusion of their testimony. If unable to attend, send written comments to the Department of Community Services and Development, 2389 Gateway Oaks Drive, # 100, Sacramento, CA 95833, Attention: Jeff Eastburn, Program Analyst. You may also submit comments via email at wx@csd.ca.gov. Written or emailed comments will be accepted until 5:00 p.m., Wednesday April 29, 2015. A copy of the draft 2015 Department of Energy Standard State Plan may be obtained on CSD's website after April 14, 2015, at www.csd.ca.gov .

Notice
American with Disabilities Act
Individuals who, because of a disability, need special assistance to attend or participate in this hearing, may request assistance by contacting Rebecca Smith at (916) 576-7109. Requests should be made five working days in advance whenever possible.

PROOF OF PUBLICATION
(2015.5C.C.P.)

La Opinión
www.laopinion.com impreMedia
915 Wilshire Blvd, Los Angeles, CA 90017
Tel: (213) 896-2260 • Fax: (213) 896-2238

STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the county aforesaid; I am over the age of eighteen years, and not a party to or interested in the above-entitle matter. I am the principal clerk of the printer of La Opinión a newspaper of general circulation, printed and published daily in the city of Los Angeles, County of Los Angeles, and which newspaper has been adjudged a newspaper of general circulation by the Superior Court of the County of Los Angeles, State of California, under the date of July 28, 1969, Case Number: 950176; that the notice, of which the annexed is a printed copy, has been published in each regular and not in any supplement thereof on the following dates, to-wit:

APRIL 14

all in the year 20 15

I certified (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at Los Angeles, California, this

14 day of APRIL, 20 15

Rose Benner

Signature

This space is for the County Clerk's filing Stamp

Proof of publication:

ESTADO DE CALIFORNIA
DEPARTAMENTO DE SERVICIOS COMUNITARIOS Y DESARROLLO
AVISO DE AUDIENCIA PÚBLICA
ANTEPROYECTO DEL PLAN ESTATAL ESTÁNDAR 2015 DEL DEPARTAMENTO DE ENERGÍA

El Departamento de Servicios Comunitarios y Desarrollo (CSD, por sus siglas en inglés) del Estado de California llevará a cabo una audiencia para recibir comentarios sobre el anteproyecto del Plan Estatal Estándar 2015 para el Programa de Asistencia de Climatización para Personas de Bajos Ingresos del Departamento de Energía de los EE. UU. La audiencia está programada para el miércoles 29 de abril de 2015 a las 10:00 a.m., en:

Departamento de Servicios Comunitarios y Desarrollo (CSD)
Salón de Conferencias Sinex 2° Piso
2389 Gateway Oaks Drive
Sacramento, CA 95833

Se pide a las personas que presentan testimonio oral proporcionar una copia por escrito de su presentación a la conclusión del testimonio. Si no puede asistir, envíe sus comentarios al Departamento de Servicios Comunitarios y Desarrollo, 2389 Gateway Oaks Drive, # 100, Sacramento, CA 95833, Atención: Jeff Eastburn, Analista del Programa. Usted también puede enviar sus comentarios por correo electrónico a wx@csd.ca.gov. Los comentarios escritos o enviados por correo electrónico serán aceptados hasta las 5:00 p.m. del miércoles 29 de abril de 2015. Una copia del anteproyecto del Plan Estatal Estándar 2015 del Departamento de Energía puede ser obtenido en el sitio web del CSD después del 14 de abril de 2015, en www.csd.ca.gov.

Aviso
Ley de Estadounidenses con Discapacidades
Las personas que, debido a una discapacidad, necesitan asistencia especial para asistir o participar en esta audiencia, puede solicitar ayuda al ponerse en contacto con Rebecca Smith al (916) 576-7109. Las solicitudes deben hacerse con cinco días hábiles de antelación siempre que sea posible.

STATE OF CALIFORNIA
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING
DRAFT 2015 DEPARTMENT OF ENERGY STANDARD STATE PLAN

The State of California's Department of Community Services and Development (CSD) will conduct a public hearing to receive comments on the draft 2015 Standard State Plan for the U.S. Department of Energy Weatherization Assistance Program for Low-Income Persons. The hearing is scheduled for Wednesday, April 29, 2015, at 10:00 a.m., at:

Department of Community Services and Development (CSD)
Sinex Conference Room 2nd Floor
2389 Gateway Oaks Drive
Sacramento, CA 95833

Persons presenting oral testimony are requested to provide a written copy of their presentation at the conclusion of their testimony. If unable to attend, send written comments to the Department of Community Services and Development, 2389 Gateway Oaks Drive, # 100, Sacramento, CA 95833, Attention: Jeff Eastburn, Program Analyst. You may also submit comments via email at wx@csd.ca.gov. Written or emailed comments will be accepted until 5:00 p.m., Wednesday April 29, 2015. A copy of the draft 2015 Department of Energy Standard State Plan may be obtained on CSD's website after April 14, 2015, at www.csd.ca.gov.

Notice
American with Disabilities Act
Individuals who, because of a disability, need special assistance to attend or participate in this hearing, may request assistance by contacting Rebecca Smith at (916) 576-7109. Requests should be made five working days in advance whenever possible.

In the Superior Court of the State of California
in and for the County of Shasta

CERTIFICATE OF PUBLICATION
RECORD SEARCHLIGHT

CALIFORNIA DEPARTMENT OF COMM
2389 GATEWAY OAK Dr
SACRAMENTO CA 95833

REFERENCE: 00611870 JEFF EASTBUR
6810381 STATE OF CALIFORNIAD

State of California
County of Shasta

I hereby certify that the Record Searchlight is a newspaper of general circulation within the provisions of the Government Code of the State of California, printed and published in the City of Redding, County of Shasta, State of California; that I am the principal clerk of the printer of said newspaper; that the notice of which the annexed clipping is a true printed copy was published in said newspaper on the following dates, to wit;

STATE OF CALIFORNIA
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING
DRAFT 2015 DEPARTMENT OF ENERGY STANDARD STATE PLAN

The State of California's Department of Community Services and Development (CSD) will conduct a public hearing to receive comments on the draft 2015 Standard State Plan for the U.S. Department of Energy Weatherization Assistance Program for Low Income Persons. The hearing is scheduled for Wednesday, April 29, 2015, at 10:00 a.m., at:

Department of Community Services and Development (CSD)
Sinex Conference Room 2nd Floor
2389 Gateway Oaks Drive
Sacramento, CA 95833

Persons presenting oral testimony are requested to provide a written copy of their presentation at the conclusion of their testimony. If unable to attend, send written comments to the Department of Community Services and Development, 2389 Gateway Oaks Drive, # 100, Sacramento, CA 95833, Attention: Jeff Eastburn, Program Analyst. You may also submit comments via email at wx@csd.ca.gov. Written or emailed comments will be accepted until 5:00 p.m., Wednesday April 29, 2015. A copy of the draft 2015 Department of Energy Standard State Plan may be obtained on CSD's website after April 14, 2015, at www.csd.ca.gov.

Notice
American with Disabilities Act
Individuals who, because of a disability, need special assistance to attend or participate in this hearing, may request assistance by contacting Rebecca Smith at (916) 576-7109. Requests should be made five working days in advance whenever possible.

April 14, 2015 6810381

PUBLISHED ON: 04/14

FILED ON: 04/14/15

I certify under penalty of perjury that the foregoing is true and correct, at Redding, California on the above date.

RECORD SEARCHLIGHT
1101 Twin View Blvd, Redding, CA 96003

Policy Advisory Council (PAC) Meeting Attendees

PAC (LIHEAP Service Provider or LSP) meetings are held on a quarterly basis and attended by representatives from each Subgrantee.

Meetings were held the past program year on the following dates and include those meetings that did not have information available at the time of the 2014 State Plan submittal:

2013 Program Year:
March 19, 2014
June 11, 2014

2014 Program Year:
October 2, 2014
December 10, 2014
March 11, 2015 (Minutes not approved)
June 10, 2015 (Scheduled)

Attendee	06/11/14	10/02/14	12/10/14	03/11/15
DOE Subgrantees				
Amador-Tuolumne CAA	X	X	X	X
Campesinos Unidos	X	X	X	X
Central Coast Energy Services	X	X	X	X
Central Valley Opportunity Center	X	X	X	X
CAA of Butte Co.	X	X	X	X
CAC of Santa Barbara County	X	X	X	X
Community Action Marin	X	X	X	X
Community Action of Ventura County	X	X	X	X
CAP of Kern County	X	X	X	X
CAP of Orange County	X	X	X	X
CAP of Riverside County	X	X	X	X
CAP of San Bernardino County	X	X	X	X
Community Resource Project	X	X	X	X
Community Services & Employment Training	X	X	X	X
Contra Costa Employment. & Human Services Department	X	X	X	X
EOC of San Luis Obispo Co.	X	X	X	X
EOC of San Francisco				
El Dorado County Department of Human Services	X	X	X	X

Attendee	06/11/14	10/02/14	12/10/14	03/11/15
Fresno County EOC	X	X	X	X
Glenn County Human Resource Agency	X	X	X	X
Great Northern Corporation	X	X	X	X
Kings Community Action Organization	X	X	X	X
Lassen County Economic Development Corporation	X	X	X	X
Long Beach Community Services Development Corporation	X	X	X	X
Maravilla Foundation	X	X	X	X
Merced County CAA	X	X	X	X
Metropolitan Area Advisory Committee	X	X	X	X
North Coast Energy Services	X	X	X	X
Pacific Asian Consortium in Employment	X	X	X	X
Plumas County Community Development Commission	X	X	X	X
Project Go	X	X	X	X
Redwood CAA	X	X	X	X
Sacred Heart Community Service	X	X	X	X
San Joaquin Co. Department of Aging, Children's & Community Services	X	X	X	X
San Benito County Department of Community Services & Workforce Development				X
Self-Help Home Improvement Project	X	X	X	X
Spectrum Community Services	X	X	X	X
Non-DOE Subgrantees and Other Organizations				
Association of California Community and Energy Services	X	X	X	X
California/Nevada Community Action Partnership				
CAP of Madera County	X	X	X	X
Community Energy Services	X	X	X	X
County of Nevada Community Development Agency				
Del Norte Senior Center				
Hancock	X		X	X
Inyo Mono Advocates of Community Action			X	X
Mariposa County Department of Human Services	X	X	X	X
Pacific Power & Light				X
Richard Heath & Associates	X	X	X	X
TEACH, Inc.	X	X	X	X

Energy Advisory Council

The Energy Council meets on a monthly basis to serve as a representative council to work collaboratively with the department on program and policy priorities and development. The council is comprised of a representative group of Subgrantees.

During this upcoming program year, their priorities will be contract processing, LIHEAP weatherization model and metrics, client denial process and client fraud policy development, statewide funding ranges for ECIP services, expenditure performances, SHPO requirements for tribal lands, and OMB super circular impact on LIHEAP and DOE programs.

LIHEAP Service Providers
Community Resource Project
Draft Minutes
March 19, 2014

The LIHEAP Service Providers (LSP) meeting was called to order by LSP Chair Lynda Timbers at 10:01 AM

1. Roll Call – Attendees in-person or via teleconference:
Amador-Tuolumne Community Action Agency
Campesinos Unidos, Inc.
Central Coast Energy Services
Central Valley Opportunity Center, Inc.
Community Action Agency of Butte County, Inc.
Community Action Commission of Santa Barbara County
Community Action Marin
Community Action of Ventura County
Community Action Partnership of Kern
Community Action Partnership of Madera County
Community Action Partnership of Orange County
Community Action Partnership of Riverside County
Community Action Partnership of San Bernardino County
Community Action Partnership San Luis Obispo County
Community Energy Services
Community Resource Project, Inc.
Community Services and Employment Training, Inc.
Contra Costa County Community Services Bureau
El Dorado County Health and Human Services Agency
Del Norte Senior Center
Fresno County Economic Opportunities Commission
Glenn County Human Resource Agency
Great Northern Corporation
Kings Community Action Organization, Inc.
Lassen CAC
Long Beach Community Services Development Corp
Maravilla Foundation
Mariposa County Department of Human Services
Merced County Community Action Agency
Metropolitan Area Advisory Committee
North Coast Energy Services
Pacific Asian Consortium in Employment
Plumas County Community Development Commission
Project Go
Redwood Community Action Agency
Sacred Heart Community Service
San Joaquin County Department of Aging and Community Services
San Benito County

Self-Help Home Improvement Project, Inc.
Spectrum Community Services, Inc.
TEACH, Inc.
Association of California Community and Energy Services/So Cal Forum
Richard Heath & Associates
Hancock
Community Services and Development (CSD)

2. Approval of December 11, 2013 minutes
M/S Lily Rivera Graves/Jennifer Durbin Approved

3. Director's Report – Linné Stout

Confirmation

On February 26 the Senate Rules Committee voted 4-0 in favor of Linné Stout's appointment as the Director of CSD. She appreciates all of the support received over the last year and especially want to thank executive directors: Val Martinez, Lynda Timbers, Tom Tenario, Ernie Flores and Administrator Arleen Novotney as well as Community Resource Project board member Yolanda Benson for providing testimony in support of her appointment. In May it will be three years that she has been at CSD, what was only supposed to be a temporary position became permanent because what she found was a Department with a mission that she believes in and very a dedicated network of providers and the hard working committed CSD staff.

Staff Changes at CSD

Sylmia Britt and Ed Lee have left the department. They will recruit to fill these positions.

See list of CSD staff at the end of these notes.

CSD's Strategic Plan Update

CSD is in the process of hiring a consultant to assist CSD in the development of a strategic plan for the Department. CSD anticipates the effective date for the plan to begin in 2015. CSD plans to include its customers in the planning process to include providers, clients, state associations, other partners.

Governor's proposed 2014/15 Budget

The Govenor's budget includes five key priorities to include:

1. Maintaining Long-Term Fiscal Stability
2. Investing in Education
3. Strengthening the State's Infrastructure

4. Implementing Federal Health Care Reform
5. Addressing Climate Change and Water Sustainability

Maintaining Long-Term Fiscal Stability:
The Budget maintains the state's fiscal stability by strengthening and investing in the state's Rainy Day Fund and continuing to pay down the debt. Specifically, the Budget makes a $1.6 billion payment into the state's Rainy Day Fund – the Budget Stabilization Account – and also directs $967 million to a Special Fund for Economic Uncertainties. The Budget also continues to address the $25 billion Wall of Debt, directing more than $11 billion to pay off past budgetary borrowing. This debt, which totaled $34.7 billion in 2011, will be eliminated entirely by 2017-18 under this Budget.

Investing in Education:
The Budget provides an infusion of $10 billion in new Proposition 98 funding this year. This reinvestment provides the opportunity to correct historical inequities in school district funding with continued implementation of the Local Control Funding Formula, which directs additional resources to students who need the most support – English language learners, low-income students and foster youth.

Strengthening the State's Infrastructure:
The Budget reflects the release of the state's five-year infrastructure plan – last produced in 2008 – and includes an $815 million package of investment to address critical deferred maintenance projects in state parks, on highways, local streets and roads and at K-12 schools, community colleges, courts, prisons, state hospitals and other state facilities.

Implementing Federal Health Care Reform:
The Budget invests $670 million in new state general funds to expand Medi-Cal benefits, for mental health, substance use disorder, adult dental & specialized nutrition services.

Addressing Climate Change and Water Sustainability
The Budget proposes to invest $850 million of Cap and Trade (CT) auction proceeds to support efforts to reduce greenhouse gases (GHG), with an emphasis on assisting disadvantaged communities. To advance the Governor's Water Action Plan, the Budget also proposes $619 million to help expand water storage capacity, improve drinking water in communities where available supplies are substandard, increase flood protection and increase regional self-reliance.

Of the $850 million to reduce GHG, at least $225M will be used to benefit disadvantaged communities, and includes investing $80 million in the Department of Community Services and Development's low-income residential weatherization program.

Map of Disadvantaged Communities:
http://427mt.com/wp-content/uploads/2014/01/DisadvantagedCommunitiesMap-224x300.jpg

Budget Hearings
The Department will provide testimony at the Assembly Budget Subcommittee on March 26 and the Senate Budget Subcommittee on April 3. Today there is an Informational Hearing on CT which CSD's Chief Deputy Director is attending.

In addition to the Administration and the legislature there are many closely watching the coordination efforts underway and the Legislative Analyst Office (LAO) report on the Cap and Trade Expenditure Plan also commented about the efforts underway to better coordinate our program– many are watching the coordination efforts underway between CSD and California Public Utilities Commission (CPUC).

Federal 2015 Budget
The President's Budget proposes reductions to LIHEAP and Community Services Block Grant (CSBG). Kathy Andry will have a more detailed report of the funding and many of our providers will be going to National Community Action Foundation next week to provide information on the benefit that our programs provide to low income Californians.

This is the first draft from the President which has historically been very low. It has also historically been bumped up in the Congress and Senate.

- CSBG - $350M, which is 324M less than 2014
- Expanding the Earned Income Tax Credit (EITC) for Childless Workers. The EITC provides a valuable benefit to low-income individuals and families. However, the benefit for childless workers has several restrictions and a limited amount of the credit available. The President's Budget proposes to double the maximum credit, make the credit available to workers at slightly higher income levels, and lower the age limit as a way to support and reward work. In California this would provide a much needed benefit to childless workers who are striving to improve their lives and become self-sufficient.

Heat and Eat
Heat and Eat - Farm Bill requires over $20 amount in order for states to claim the Standard Utility Allowance which provides additional Supplemental Nutrition Assistance Program benefits. Although there was an effort to delay the implementation of this part of the bill, the United States Department of Agriculture has released instructions on implementation of the Farm Bill. CSD is working closely with Department of Social Services to determine options, however at this time there isn't a final proposal. They do know that many states are implementing the higher amount in order to provide additional food assistance benefits.

Waiver Request for LIHEAP
CSD cannot submit the weatherization waiver any sooner than April 1st , however we are working on getting the data together. CSD is hopeful to be able to justify the normal waiver, if not they will need to put forward a good cause waiver.

Unexpended Funds
CSD and Providers need to ensure that LIHEAP funds are expended. Carryover funds could impact the weatherization waiver and Heat and Eat. CSD is in the closeout process for the 2011 Department of Energy (DOE) funds and it is likely that not all funds were expended which will result in funds being returned to DOE.

Drought

On January 17th Governor Brown declared a drought State of Emergency and directed state officials to take all necessary actions to prepare for water shortages. Governor Brown met with President Obama about crucial federal support during the ongoing drought in February, and the state continues to work with federal partners to ensure a coordinated drought response. There is both federal and state legislation on the drought.

Rachel Arrezola will provide an update as she participates on weekly calls with Governor's Office (GO), California Department of Food and Agriculture and others to identify issues with the drought both now and over the upcoming months.

Pilots

The Solar Water Heater, Geographic Coordination and Data Sharing pilots are moving along and the GO's is providing assistance to ensure that as many barriers as possible can be removed. The CSD, CPUC and the GO have monthly calls to provide updates and identify any issues. Chuck will provide a more in depth report.

50th Anniversary Commemoration of the Economic Opportunity Act
On April 29 a 50th Anniversary Commemoration of the Economic Opportunity Act will be held at the Capitol and is an opportunity to promote awareness and education of the impacts of CSBG and is an excellent venue to highlight your programs to the public and the policy makers so they understand the importance of Community Action. Central Valley Opportunity Community Action Agency (CVOC) will have a booth promoting weatherization assistance program.

3FF
Linne' Stout thanked the members of the 3FF committee for all of their work in establishing the allocation methodology. She mentioned that CSD will be forming a committee to establish the criteria for the Supplemental Funding

provision. CSD will send out an email requesting participation in this committee.

4. Chair's Report – Lynda Timbers

The next LSP will be June 11 and the ACCES Roundtable will be on June 10 here at CRP.

Linne's confirmation hearing went very well. All of the associations were represented. Linne' was very informative on all functions and programs of CSD and the network.

The CT funds are for the disadvantaged communities. Not all areas are included in this designation. The network was successful in helping to get this idea of funding to those that make decisions.

At the ACCES Roundtable yesterday, the group discussed the Weatherization Installation Standards, contracts and CSD Program Notices. This is a great opportunity for the network to discuss issues and to exchange ideas with the peer agencies. Some of the information/topics discussed at the roundtable are brought to the LIHEAP Working Group (LWG) and/or the Energy Council Advisory Committee (EC) for additional discussion with CSD Representatives.

The upcoming 50th Anniversary Commemoration of the Economic Opportunity Act will be on April 29 at the Capitol. CVOC will bring a mobile office to the Capitol on that day. Please come out and showcase our network and make an impact on our visibility. The Cal/Neva conference will start on April 29th.

5. Three Factor Formula (3FF) Committee Final Report – Buddy Ray

The committee finally got the formula finalized. The components are:

Population Low income
Cost of Energy
Heating Degree Days (HDD)/Cooling Degree Days (CDD)

The factors were the easier part of the recommendation. The population of low-income has shifted some from the large urban areas to other smaller and rural areas. HDD is at 100% and the CDD is at 20%. Some areas had big shifts either becoming gainers or non-gainers.

To avoid any large shifts that would negatively affect the communities the shifts will be made over a three year period.

The smaller areas will receive at least $500,000. The other areas will reach the full 3FF by 2017.

The carryover will be distributed also by the 3FF to those that reached a full performance of 90% of their contract funds. The unspent funds/carryover will be coming from the areas that did not fully perform which include timely reports and close-outs.

Question:
The balance of the 2011 carryover and the balance of the allocation have been amended into the contracts through the latest LIHEAP contract amendment.

The balance of the 2012 carryover/carryforward is approximately $28 million and will be augmented into the 2014 LIHEAP contract soon.

Can agencies receive an extension on 2013 contracts? No not at this time. 60% of the funds must be expended by September, and 90% by the end of the contract to be considered fully expended.

Will the distributed carryover be allocated according to the old budget? Yes, unless the agency modifies the budget when returning the contract amendment. If agency's transfer into non- consideration to consideration or reverse, the form #509 will need to be completed and returned with the contract amendment.

Since there is definitely less time to expend the funds, this will be a difficult year to spend out.

Is there a possibility because of the drought, to increase the cash assistance benefits in an area? There is an option through the SWEATS to offer an additional payment. Agencies should contact CSD if they wish to activate SWEATS due to the drought declaration.

6. Statewide Disaster Assistance Efforts – Rachel Arrezola

Director Stout issued a letter to all Executive Directors on February 21 to provide an update on drought activities……

- We are in one of the most severe drought years on record. Governor Brown declared a drought state of emergency on January 17.

- The Governor also signed emergency drought legislation including $25 million in General Fund (GF) or food assistance and $21 million in GF and federal funds for housing related assistance, such as rental assistance.

- The Governor established a Drought Task Force to prioritize state actions needed to address conditions resulting from the drought. CSD is a member of the Community Support working group under this Drought Task Force.

- As a member of the Community Support working group under the Governor's Drought Task Force, CSD is working to coordinate with other state agencies and communicate local needs shared by our network.

    - As part of this effort, CSD conducted an initial survey to better understand immediate impacts and needs. Although most agencies noted they haven't seen an increase in needs yet, many agencies identified that additional emergency needs such as food, housing and utility assistance especially in agricultural areas of the state are expected. This largely aligns with the areas identified in the drought legislation to provide relief.
    - The DSS and Housing and Community Development (HCD) are currently in the process of putting together the guidelines for the additional funding they will receive for food and housing assistance.
    - Typically in the past, HCD has only been able to contract directly with public entities such as Counties and Cities, however they are looking at possibly changing this requirement under the state emergency funding to possibly open availability to non-profits. Through our coordination efforts, we are working closely with HCD, and have provided contact information for your agencies to be included in the notification of these funding opportunities.
    - As part of the Task Force's efforts, the California Department of Food and Agriculture (CDFA) and the U.S. Department of Agriculture held informational sessions in February and March on drought resources for farmers, ranchers and farmworkers in several locations throughout the state (Redding/Palo Cedro, Salinas, Fresno, Camarillo, and Escondido). Since CSD is participating in this group we were able to make connections with CDFA, and many of our local energy and CSBG providers participated in these informational sessions.

- Through CDFA, the Administration is working with the University of California, Davis to obtain real time estimates of drought impacts on farming and ranching communities through economic modeling scenarios. Once this study is publicly available we will share it out with you as the information and data may be helpful to you in your local planning efforts to assess drought impacts and service needs.

Additional resources available:

- The CDFA has launched a drought website, www.cdfa.ca.gov/drought/, to help farmers, ranchers and farmworkers find resources and assistance programs that may be available to them during the drought.

- CAL OES has put together a resource brochure that provides information on programs and services that may help people impacted by the drought.

Lastly, we have scheduled a Webinar with all Executive Directors on March 25 from 1 pm to 3 pm to offer additional updates on the state's efforts to assist with drought impacts, and to hear additional feedback from local agencies on what they're experiencing on the ground. The invitation has already gone out to agency Executive Directors and we hope they will join us to keep the flow of information open, as we all work through how best to address the needs of our vulnerable populations as the drought impacts are layered on top of the already existing needs.

Questions:
Was there any communication to the agencies so they can say that CSD and the network is working and coordinating drought related efforts. This is a good opportunity to work together. CSD will have the webinar to share this information. The network can help to show the efforts of CSD and the network. The bill was just signed so there is not any concrete information yet.

Can the program manager be on the webinar? CSD will extend the invitation to the program manager.

Currently, only an additional energy payment can be made with SWEATS.

7. Automation Update – Diana Felden/Kathy Andry

CORE Update

Over the past several months CSD has been in contract negotiations with its CORE Contractor. Because of this, they were unable to make any changes to CORE. However, as of March 3 the first set of fixes was deployed. They will continue to work from the list of bugs and enhancements that was shared at the LSP CORE Forum in August (See below). From that list, we have scheduled the following 5 fixes for Quarter 2 (by June 30).

Items fixed and deployed into CORE:

- Re-issue of returned payments wasn't allowing a reissue during the 90 day period when an agency was out of funds.
- Audit history wasn't working on address updates.
- Working Deficient records were not closing after 45 days.
- Report auto generation based on default settings was turned off.
- Addresses were not consistently being displayed on the Customer Detail Report.
- Rejected Records were not consistently displaying on the Work-Deficient/Rejected Record Report.
- Core was accepting applications with the wrong utility code to program code combination (e.g., HEAP program with a propane utility company).
- Increased the household size to allow up to 25.
- Pay Run File Name extensions were corrected.

Quarter 2 Release

- Phone Dup Flag-- Modify criteria so the phone number duplicate check criteria checks only against current program year.
- WPO Pay Run (Expenditure Report) –A date range selection of a calendar month will be added to the WPO Pay run to facilitate LSP's desire of monthly expenditure reporting
- Void Rejected/Working Deficient Record – Modify CORE to allow an agency to "void" or close a non-workable deficient/rejected application.
- Performance Measures – Modify CORE to accept the 7 new fields added for PY 2015.
- Reissue Payment Returns (YTD Report) – Corrects the YTD report to more accurately reflect spent/encumbered amounts when a returned payment has occurred.

Known CORE Issues Not Yet scheduled (not in priority order):

- WPO Payment Adjustments – Allow a return payment to be made on a WPO application.
- Correct the functionality of address search. Currently not searching on all address fields.
- Correct the way some addresses are displayed in the SCO Pay Run.
- Returned Payments – Enable LSPs to reissue full payment returns for all programs (HEAP, Fast Track, ECIP WPO, HEAP WPO).
- Payment Adjustments – Enable LSPs to make payment adjustments (e.g., forgot to include a supplemental payment for Fast Track).
- Revise selection criteria for the following reports:
    - Customer Application Details Report
    - Variance Report
    - YTD Report
    - Deficient/Rejection Report
- Global Search Screen
- Tracking Payment Changes – Develop an automated process which communicates/updates an applicant's payment status at the local level.
- Contract Totals – Display allocated and expended amounts by contract for multi-county providers.
- Merged Cells – Remove merged data cells in the reports so the reports can be sorted when exported.
- Contract Views -Want the ability to view multiple contracts at once.
- Progress wheel/hour glass -- Add indication of processing so user knows the system is working.
- Customer Screen – Display, in descending order, only the latest application per program year.
- User Manual -- Update the user manual to provide more in depth information.
- ASCII Characters -- Expand the disallowed character list to include extended ASCII characters.
- Create additional CORE reports to match what was available in CLASS.

- Add the number of people served to the agency contract screen so it shows the amounts allocated, spent, and households served.
- Reduce the number of available Note fields.
- Home Weatherized -- Add a field on the application screen that indicates whether the home has been weatherized.
- Allows CORE users the ability to change their own password.
- Correct the way CORE calculates Energy Burden
- Allow phone number to be updated by LSPs.

Automation Forms Pilot Update

CSD launched the automation forms pilot project to achieve certain efficiencies within the State of California weatherization program and to respond to agencies desires to go paperless. This tablet based field tool provides a technical sophistication with goals in mind of efficiencies, training resources and technical support.

The forms that are being tested are the: intake, assessment, blower door, duct test, mechanical ventilation and post inspection form. The CASIF form is still under development.

There are about 19 agencies working on the pilot. SHHIP, CAPOC, Fresno, ATCAA and Glenn are some of the more active agencies.

Initial feedback from the users –

- Early on it was taking longer to do the assessment due to learning curve and transition from doing assessments from hard copy to electronic.
- Forms are intuitive based on current processes but could be more streamlined and efficient.
- Embed more interaction points between measures (Example…NIM)
- All forms should be included and go full paperless
- Forms should talk to each other
- Forms have a good summary with colors that make the final summary form intuitive

CSD is working on a training video to help agencies with the use of the forms and will be released once completed.

Over the next several weeks, CSD will be contacting each vendor individually to better understand system limitations to discuss ways to potentially integrate into the local system.

CSD's Quality Assurance staff will be conducting visits in April to assess the agencies use of the automated forms for assessments, diagnostics and post

inspections. The goal of the assessment is to evaluate barriers agencies are facing in the use of the forms.

The pilot is scheduled to end June 27, 2014. After the pilot is completed, CSD will evaluate to determine if the forms are feasible to be integrated into local systems or if the forms are used as a standalone tool.

Questions/Comments:

The Windows based form is available as well.

Will the state be adopting these forms as acceptable for the network? CSD is using the pilot to assess the forms and their usefulness. To integrate these into the individual systems will help agencies. There will be modifications still as the pilot concludes.

CSD needs to know what the barriers are to incorporate the forms into each data system. There are still many considerations.

The forms are easy to follow but in some cases because of an agencies business model, they will need to change the way business is done. Multi- visits to a client will need to be considered. There are training considerations and printing of the forms that raise the cost of doing business. This process needs to be looked at carefully so no more direct service funds are used for automation.

By incorporating the forms in the local system, it will reduce the cost of printing the forms and double entry of data.

Agencies are talking to their data vendors on what the costs will be to add these forms. The agencies should be included in any work with the vendors. This should be done as soon as possible.

Printing forms to place in a client file is not paperless. Will this go towards an electronic client file? Yes.

This has very good options and can be more efficient and ultimately good for the network and services.

8. Energy Contracts – Kathy Andry

2014 LIHEAP Funding

CSD has released the entire amount of the 2014 LIHEAP Award to network through this most recent amendment which also included $6 million in carryover from 2011. CSD plans to release another amendment to LIHEAP in April/May to release 2012 carryover in the amount of approximately $28M

CSD will submit the weatherization waiver to U.S. Health and Human Services (HHS) by mid-May. HHS has 45 days to respond which will bring us to July. In order to submit a standard waiver, we must indicate that the cash/fuel assistance and crisis services will not be compromised. CSD will base our analysis on FFY2013 Household report:

156,990 HH for HEAP/HEAP WPO
95,047 HH for Crisis (includes FT/ECIP WPO and ECIP HCS)

It is a little early to tell on HH served since services were off to a slow start due to contracts being released late.

CSD's goal is to release the 2015 LIHEAP contract to the network no later than November 15 so that contracts are executed by Nov. 15. CSD has found that the late release of contracts over years is due to policy issues that were vetted through the LWG and Energy Council; however, the entire network may not have had the opportunity to weigh in until the 30 day comment period which is typically in October.

CSD will make several adjustments by prioritizing policy considerations through the LWG/EC and ensure that as policies are formulated that they are released to the entire network for comment rather than waiting until the 30 day comment period.

Comments:

Will the carryover and carry forwards be in one amendment? Yes

2013/2014 DOE Contract

The delay in obtaining approval of the 2013 DOE state plan caused CSD to rethink the release of the 2013 DOE funding to be combined with the 2014 DOE funds. CSD will likely know the 2014 amount the last week of March and it will be more than 2013.

By combining the funds, it will be more feasible for agencies to administer the program and it offers efficiencies for CSD as it relates to monitoring that we will speak to later.

We have to make a few changes to the contract to add measures consistent with LIHEAP for Combustion Ventilation Air Venting, Low-Flow Toilets (permit only), and remove heating source replacement for mobile homes.

CSD will work on the specifications for the changes to EARS to provide to vendors in April so that your local systems can be updated.

CSD is anticipating a contract term of July 1, 2014 to June 30, 2015.

Questions:

If this goes to July 2015 when do the 2015 funds begin? July 2015.

How about the new DOE training requirements? CSD is working on the training plan to submit to DOE. This is due this July.

2015 LIHEAP/DOE Funding

ACF's FY 2015 Congressional Justification, which outlines budget requests and priorities, was released which provides $2.8 billion in total LIHEAP funds, including support for LIHEAP Contingency funds (+$200 million) and Energy Burden Reduction Grants (+$50 million). California's funding is projected at $112,886,045 which is a 26% decrease from FFY2014.

DOE has not released their detailed justification but their budget highlights indicate that funding will go up by 31.4%.

LIHEAP Local Plans – New Process

CSD is designing a new agency plan document that will provide information to CSD on local service delivery from outreach, client education, budget counseling, local partnerships/leveraging etc. The new process will assist CSD in the annual state plan process, offer comprehensive information on agencies to help with responding to public, legislative inquiries, and a good resource for peer to peer best practices.

Another benefit is to help streamline the contracting process to that the agency plans are completed sooner. The contract would make reference to the plan.

CSD is developing the template and will work with the LWG to finalize. The goal is to have agencies develop a comprehensive plan and then it can be updated each year.

Question:

Will additional funds be available for this process for agencies? Not at this time but it can be discussed to see how much time this will take.

LWG Update

LWG is meeting on 3/20 to prioritize contract/policy issues to implement in 2015, which include:

- Categorical Eligibility – evaluate various social service programs that we may consider as automatically income qualifying applicants; devise methods for streamlining intake and income qualification methods using 'categorical enrollment'. The goal is to simplify the income eligibility determinations and the rest of the application will need to be completed.

- LIHEAP Weatherization Model – concept is to develop a priority list for LIHEAP where providers have to install measures from A to Z. Revalance or reason to do this is that we plan to develop metrics to evaluate the benefits of weatherization in terms of energy efficiency, environment, and other co-benefit categories.

- Agency Local Plan – the plan will provide details on service delivery with the goal of making it a standalone document. The contract would simply reference the document.

- Working Capital Advance – we want to explore a better way to issue the advances so that they are timelier.

- Other topics will be determined.

Once the workplan is finalized it will be shared with the entire network.

RHA Contract

CSD is prioritizing services under the RHA contract until the new training and technical development contract is in place, which we anticipate to be in place mid-May. In the interim, please send any training needs to James Kirk. Agencies can use the training and technical assistance funds available under LIHEAP to pay RHA directly for training and funding will be put back into your contract at a later date.

Noon to 12:30 – Lunch on-site

9. Contract Reform – Ronn Kaiser

What is the need for change? When the tipping point is reached change most be considered. The contracts have been as they are now for a very long time. CSD thought that contract reform may be necessary.

An idea they thought about is 8-9 pages that will be mailed out to agencies. **See Attachment.**

So CSD will send out Part I and the rest will be online on the contractor website. By signing this part the agency is agreeing to all of the parts and sub-parts (incorporation by reference).

Part II will be locked down and date stamped so it will not change. When a change is necessary it will be done through an amendment. These changes will be reflected in part II and locked down again.

The Policy and program manual is being made by CSD. This will be online as well and a companion to the contract.

Some entities need to see the whole contract by requirement or otherwise. CSD can provide that if necessary.

Questions:

Will there be a change matrix available? Yes this can also be a companion to the contract.

Will the Assurances need to be sign separately? Yes if it is required by the Federal government. Or it may be OK that once the contract is signed then it may be good for the other items as assurances. It may be possible to make these PDF fillable forms so they can be sent to CSD electronically.

10. Working Capital Advance (WCA) Processing – CSD Accounting Staff Advance payment timeline

- Advance payments are processed upon the receipt of the executed contract in Accounting. Once received, claims are processed.
- **Next day**, fund will be drawn from the federal government.
- On the **third day**, State Treasurer's Office (STO) will receive this fund
- On the **fourth day**, STO will forward funding information to State Controller's Office (SCO).
- On the **Fifth day**, CSD will submit claim schedule to SCO. It takes 2 weeks for SCO to process and issue warrant.
- Allow up to 3 to 5 business days for mailing.
- If contract is executed on 2/15/14, agency will be receiving the 1st WCA by mid-March.

2 QTR advance covering the period of (April – June)

- Process will begin during the first week of April.
- Accounting will retrieve all submitted 2 QTR WCA in file.
- If you have not submitted one yet. You can submit your request form CSD 143 to: EARSReports@csd.ca.gov.
- Please ensure that you use the form with the revision date of 12-30-2013.
- During the first week of each quarter, Accounting will assess if the requested amount is allowable. Allowable means that advance can't be more than 25% of the contract allocation.

- We will also analyze the activities from the first quarter to determine how much the agency has received in WCA in the first quarters and what EARS reports was received during the month of Jan to March. All of the EARS reports including adjusted reports that are received before March 30, will help reduce the outstanding advance.
- After this analysis, the second advance payment will be the net amount of the amount requested on the 2nd QTR minus 1st QTR outstanding balance.
- Advance payments are estimated to be received by agency by mid-May.

Amendment #1

- With amendment #1, your contract allocation has increased. You have the option to submit a revised 2nd QTR WCA up the maximum allowable advance.
- If amendment #1 has not been executed during the first two weeks of April, an advance request will still be processed based on the original contract allocation. Upon the receipt of the executed Amendment 1, Accounting will process an additional advance for the difference based on the revised advance request.

Additional Funding

- LIHEAP contracts will be amended again for additional funding; therefore, I recommend submitting revision for the 2nd QTR WCA only.
- By the time, we are ready to process the 3rd QTR WCA, the contract allocation will be higher which allows you to request a higher advance amount.

WCA:

1st QTR WCA (Jan – Mar)
2nd QTR WCA (Apr – June)
3rd QTR WCA (Jul – Sept)
4th QTR WCA (Oct – Jan)

Questions:

-It will take a month for the regular process. The offset for the advance will be taken from the monthly reports. Can an agency not have that offset? This is in conflict with the state cash management process. CSD needs to comply with this process by liquidating the advance funds immediately.

-If 25% is liquidated then the remaining reimbursement will be available. But this is often spent before the next advance is available to an agency. This causes a cash flow problem. The payback also causes this problem. The old way of having the seven months to payback that worked much better.

-If the WCA is at the agency in the first month of the quarter that would also help this cash flow problem. The contract needs to be executed first before the WCA can be issued. If this happens then the WCA will be at the agency by late January or early February.

-Usually the third and fourth quarter is a smoother process time.

-The advance offset amount is not on the check. The agencies need to know the amount. This is based on the EARS report. This amount is what is taken out from the following WCA. It is very hard to understand what the WCA is for and what was taken out. Whatever is not expended from the prior quarter WCA then that also is subtracted from the next WCA.

-Whatever is put in EARS is taken out? What if it isn't taken out then the agency never knows what is taken out. CSD will try and make a form to show the actual payback and what has been offset.

-The contract needs to be executed before a WCA is issued. Can the work be done before the contract is executed? Yes

-The subcategories and how they are expended also will make a difference on the next WCA.

Revised Expedite Process
he Expedite Process has been revised to:

1. Provide additional fee options with different timeframes for the agencies to choose from-
    a. $75 Fee – Same Day (5 days for processing)
    b. $50 Fee – Next Day (6 days for processing)
    c. $25 Fee – Second Day (7 days of processing)
    d. $15 Fee – Third Day (8 days of processing)
    e. $10 Fee – Specific Date (Minimum of 9 days

2. Submit Payment with the "expedite" request.

3. If requesting "Same-Day" processing, the request must include your Fed-Ex number for mailing.

With these changes, CSD hopes these changes will make the expedite process more efficient for both the Agencies as well as the CSD.

- All completed and signed CSD 475 "Expedite Requests are now sent directly to CSD's Accounting Office instead of to the Program Analyst.
  The request must have completed and signed Expenditure Activity Report (EARS) or WCA Request.

  If a request is received and it does not have all of the proper information for processing, it will delay your expedite being processed timely because Accounting will have to contact you to obtain this data.

Comments:

On February 27th the draft form was sent out to the network. There were two comments.

There is a way to request a fee waiver. This is explained on the instructions on the back of the form.

Is there a way to have amounts electronically transferred to the agency bank account? No not at this time.

CSD staff worked with Lynda Timbers and Arleen Novotney on the final draft of this form. Please read and comment on any CPNs that are released.

There will be a webinar in April on this process.

11. Weatherization Installation Standards and Field Guide Update – Kathy Andry

The fifth and final batch of the WIS is currently posted and open for comments. The final date for submitting comments is March 28, 2014. Further comments for the first four batches can be sent to Arlene Novotney to compile and submit to CSD.

The WIS review committee will meet soon to go over all comments. The Field Guide is still under review at CSD and should be completed in April. RHA will make the final edits and release it to the network for review by April 21. The guide will be released in batches in the same fashion as the WIS followed by the WIS review committee.

Questions:
Radon is high in two counties. Since it is in the contract for these high concentration areas to test but then there is no reimbursement and it states that in the WIS agencies do not have to test for Radon, these contradictions need to be fixed.

For any hazardous testing the cost can be billed under the lead safe testing line item. The CalOSHA requirement is to have any crewmember's blood tested if working on pre 1978 homes.

Radon in California by zip code:
http://www.cdph.ca.gov/HealthInfo/environhealth/Documents/Radon/CaliforniaRadonDatabase.pdf

Radon Info:
http://www.cdph.ca.gov/HealthInfo/environhealth/Pages/RadonInformation.aspx

Comments:
The agencies will not know where there workers may have been exposed to the lead that exists in their blood. This was not covered in the CalOSHA training for supervisors.

CalOSHA is different than the OSHA training. Can the Cal OSHA regulations be sent out? It is in the WIS section #1 which is in the front of the document. RHA will send out the link for the regulations.

What if staff tests high, what is the liability of the agency? The agency needs to have all necessary equipment. The Department of Public Health says that if in a pre-1978 home, paint is disturbed, then the CalOSHA regulations must be followed.

RHA can do a webinar on the regulations.

Summary of CDPH Proposed Changes to the General Industry Lead Standard:
http://www.cdph.ca.gov/programs/olppp/Documents/LeadStdRecsSummary.pdf
CalOSHA Lead in Construction sheet:
http://www.sjsu.edu/hr/docs/risk/info/lead_construction_osha.pdf

12. Cap and Trade Update – Kathy Andry

The current Governor's Budget proposes CSD receive $80M for FY 14/15. In addition, CSD has been informed by the CA Department of Finance that an additional $80M is likely to be received for FY 15/16.

With Cap and Trade dollars, CSD and its network of LSPs will provide services in those areas identified as disadvantaged communities. Specifically:

- 50% of funding will go to single family weatherization*
- 50% of funding will go to multi-family weatherization*
- Of those properties weatherized, approximately 25% will receive solar photovoltaic (PV) and/or solar water heating.

* CSD received direction from the Administration Governor's Office that funds should be split equally between single-family and multi-family weatherization. The actual weatherization measures to be performed will be those cost-effective measures that produce the most GHG emissions reductions. The formula for cost-effectiveness is still being determined.

CSD will target services via in the disadvantage communities as identified by CalEnviroScreen (packet). There were 176 zip codes identified as disadvantaged. The disadvantaged communities are identified in the handout provided.

As you can imagine, there is a great deal of attention being paid to how these new CT dollars are being spent. CSD was chosen as a potential recipient of these dollars because of our experience assisting low-income communities and, specifically, because of our experience administering ARRA dollars, but there are differences between our traditional program and the CT program. Our CT Program comes with these expectations:

- Cost effective energy saving measures that reduce greenhouse gas emissions will be top priority.
- Approximately equal amounts of funding will be allocated for weatherizing single- and multi-family dwellings.
- Job creation and training, as well as other economic benefits to the local disadvantaged communities will be top priority. CSD will be working with LSPs and other workforce partners to identify the best way to incorporate effective job creation into the program.
- CSD will play a larger role in project identification and outreach. As the program model comes together, we will know more, but for now we know that because of the expectations of the CT Program, there will be more direction regarding job selection from CSD than typically exists under the LIHEAP or DOE programs.
- Coordinating with the utilities effort to "weatherize all low-income homes by 2020." Legislators and other decision-makers have placed great emphasis on ensuring that CSD and the utilities do not duplicate weatherization efforts.
- CSD is hosting a webinar in April to provide more details.

Map of Disadvantaged Communities:
http://427mt.com/wp-content/uploads/2014/01/DisadvantagedCommunitiesMap-224x300.jpg

13. CPUC Proceedings – Ronn Kaiser

The CPUC and CSD have been requested to work cooperatively on the low-income programs. They have an MOU to work together to work more harmoniously. The integrity of the federal programs will be maintained which means that accommodation is more likely to be made on the side of the IOU programs.

The relationships have been complex. CSD is currently working on pilots with the IOUs. One pilot is to share data. This has caused a privacy concern. The IOUs do not want to share this data without overly burdensome safeguards. This matter was addressed in the context of the smart grid proceeding (R0812009). Despite opposition from the IOUs, the Proposed Decision is supportive of CSD's position on the sharing of weatherization information in which it was argued that weatherization is about property, not the customer and that, accordingly privacy protections do not apply.

The usage data question is more related to the customer, meaning privacy protections do apply. However, as a State agency, CSD is entitled to receive the information, even without customer consent because of the exemption in the Information Practices Act which provides that information necessary for the agency to perform its statutory duty (fulfill the federal reporting requirement) can be shared.

CSD has also joined the proceeding for the low-income filing. This is where the IOUs propose what the next three years of their programs will look like, how much funding will be involved etc. This will also weigh who will pay for any data sharing. The parties' positions on categorical eligibility were recently submitted for comment.

At this time the eligibility criteria for CSD programs and the IOU programs are different. LIHEAP should be given special consideration for categorical eligibility since funds are sent to the utilities for their customers. These customers should be allowed to be eligible for ESAP and CARE by virtue of receiving LIHEAP benefits, even though there is a slight difference in the income guidelines.

The Public Utility Code may need to be changed if LIHEAP categorical eligibility will be acceptable to IOU programs. CSD is also looking at changing the criteria to be the same for both programs. CSD would like feedback from the network on the issue.

14. CSD Program Notice (CPN) – Kristen Hart

a. Vehicles

CSD is developing a CPN on how vehicle usages is to be documented and tracked in accordance with the OMB. CSD field monitors will evaluate compliance with as it relates to the CPN with the expectation that for now agencies will develop policies on tracking vehicle use, purchase of vehicles, usage fees from all programs.

Vehicles cannot be used between federal programs without tracking. A fee for use to the purchasing program from the program using the vehicle needs to be completed and tracked. This should be in place now and going forward.

The fees should be treated as program income and can be used for wear and tear of the vehicle.

If a federally funded program, Head Start for instance, uses a vehicle or vice versa, a cost allocation can be done without using a fee structure. This is more an allocation of cost.

For a nonfederal program then a fee should be charged to that program and paid to the program that purchased the vehicle.

There needs to be a plan at the agency and available for monitoring.

b. Excess Revenue

Excess Revenue was generated under the prior LIHEAP reimbursement model where there was a fixed labor rate. The CPN addresses the need to ensure that any existing excess revenue is tracked and used for allowable program expenses.

Excess Revenue is not profit or unrestricted, it is they are expected to be tracked and reported and expended within five years. Any revenue from 2010 will need to be expended or returned to CSD by the end of this year.

CSD will require agencies with Excess Revenue balances to provide a narrative plan on expenditures. Agencies must maintain client files where Excess Revenue was used. All expenditures must be in the close-out. CSD is working to capture the data in CORE but not yet. This cannot be reported into EARS

Questions:
Can this be spent on tools and materials? Not on small tools but check with your representative for larger purchases as vehicles. Why not on small tools?

15. CPUC Pilot Project Update – Chuck Belk

Geographic location pilot;

As a reminder, the Geographic Coordination pilot is being designed to effectively leverage the IOU (ESA) and CSD (LIHEAP) programs in order to decrease energy usage and enhance weatherization offerings to high-energy users and clients that utilize non-regulated fuel sources.
Where we are:

- We officially launched the pilot at the end of November 2013.
- Goal - 100 Units (50 in each Butte and Fresno County)
- As of this week: approximately 63 units completed.
- So far we've learned that targeting households with various fuel types in each community can present very different challenges. We've determined that mining the EPO database for single-fuel customers (i.e. electric only or electric with propane or wood) is more difficult than utilizing the database to identify high-energy users.
- Our goal is to wrap this pilot up during the coming months and complete a study to determine whether we were able to:
    1. Effectively leverage the ESA and LIHEAP programs to decrease energy usage and by extension costs to low-income clients. (while also enhancing weatherization offerings).
    2. Reduce overhead, administrative and service delivery costs by streamlining the application, income qualification, assessment and

weatherization efforts that are often duplicated when administering both programs

The Solar Water heating pilot: Goal 1000

- There are 17 installs to date.
- There are 11 installs scheduled over the next two weeks.
- All agencies have been given the mandate to install at least two systems by April 1.
- CSD has given our agencies permission to go ahead with installs that qualify for the "mainstream" CSI rebate, rather than the low-income CSI rebate.
  This decision was made because these homes are easier to find (they need only be LIHEAP qualified and technically feasible), which will allow us to make better progress and allow agencies to use their SWH training.
- We will continue to seek out and give priority to projects that qualify for the low-income rebate.
- The IOUs are each increasing their outreach efforts this year in an attempt to find homes that qualify for the low-income rebate.
- There is a heightened interest around the state and especially at the Governor's office in seeing that these efforts are given every opportunity to succeed.
- We can expect a more intensified effort at outreach and in identifying eligible clients going forward.

Questions:
Will these pilots possibly become a part of the regular programs? Possibly.

16. 2014 Energy Monitoring Program – Che Fernandez

CSD is planning to perform desk monitoring this year with limited on-site visits. DOE requires monitoring each year, LIHEAP is every other year. With DOE starting in July the monitoring needs to be done by June 2015. This will allow CSD to monitor the agencies only once for both programs in 2015.

For 2014 CSD is enhancing their monitoring tools. This will be to accommodate the different styles and sizes of agency business models.

Questions:
When you come next year which contract will be monitored? Most likely for LIHEAP it will be 2014.

All closeouts must be submitted in the time allotted (45 days after the end).

17. Announcements

- Energy OutWest Conference – April 14-18 in San Diego

Early registration has been extended to March 21st.
The early hotel registration discount ends on March 19th.
http://www.energyoutwest.org/conference/

- CSD Compliance Webinar Series – 1st Session March 27
- Next Quarterly LSP Meeting – June 11
- ACCES Roundtable Session – June 10

Adjournment: 2:55 PM

ENERGY & ENVIRONMENTAL SERVICES

DEPUTY DIRECTOR/EXECUTIVE SECRETARY

Kathy Andry	(916) 576-7132
Rebecca Smith	916) 576-7130

ACTING SENIOR MANAGER

Kristen Hart	(916) 576-7144

TECHNICAL UNIT

Leslie Campanella - Manager	(916) 576-7131
Jeff Eastburn	(916) 576-7137
James Kirk	(916) 576-0628

FIELD OPERATIONS SERVICES

Che Fernandez – Manager	(916) 576-7145
Patsy Esposito	(916) 576-7140
Violet Perez	(916) 576-7184
Roberto Ramirez	(916) 576-4357
Shannen Cheng	(916) 576-7209
Jeanette Ramirez	916) 576-7211
Kathryn Fong	(916) 576-4356
Peter Tran	(916) 576-7208
Mercy Hernandez	(916) 576-7142

QUALITY ASSURANCE/LEAD

Lorraine Yamada – Manager	(916) 576-7139
Kavita Dorai	(916) 576-5291
Duane Graves	(916) 576-7199
Dorcas Reyes-Fernandez	(916) 576-7187
Marta Valero	(916) 576-7213

PROGRAM POLICY & DEVELOPMENT

Chuck Belk – Manager	916) 576-7212
Lynn Wiley	(916) 576-7135
Crystal Alvarez	(916) 576-7125

UTILITY & CASH ASSISTANCE

Albert Cobian	(916) 576-7180
Jay Kubo	(916) 576-7182
Mary Rhine	(916) 576-7186
Barbara Ramos	(916) 576-7162

Low-Income Home Energy Assistance Program (LIHEAP Service Provider Quarterly Meeting
Community Resource Project
Draft Minutes
June 11, 2014

The LIHEAP Service Providers (LSP) meeting was called to order by LSP Chair Lynda Timbers at 10:08 AM

1. Roll Call – Attendees in-person or via teleconference:

Amador-Tuolumne Community Action Agency
Campesinos Unidos, Inc.
Central Coast Energy Services
Central Valley Opportunity Center, Inc.
Colusa Glenn Trinity
Community Action Agency of Butte County, Inc.
Community Action Commission of Santa Barbara County
Community Action Marin
Community Action of Ventura County
Community Action Partnership of Kern
Community Action Partnership of Madera County
Community Action Partnership of Orange County
Community Action Partnership of Riverside County
Community Action Partnership of San Bernardino County
Community Energy Services
Community Resource Project, Inc.
Community Services and Employment Training, Inc.
Contra Costa County Community Services Bureau
Economic Opportunity Commission of San Luis Obispo Co., Inc.
El Dorado County Health and Human Services Agency
Fresno County Economic Opportunities Commission
Glenn County Human Resource Agency
Great Northern Corporation
Kings Community Action Organization, Inc.
Lassen County
Long Beach Community Services Development Corp
Maravilla Foundation
Mariposa County Department of Human Services
Merced County Community Action Agency
Metropolitan Area Advisory Committee
North Coast Energy Services
Pacific Asian Consortium in Employment
Plumas County Community Development Commission
Project Go
Redwood Community Action Agency
Sacred Heart Community Service
San Joaquin County Department of Aging and Community Services
Self-Help Home Improvement Project, Inc.

Spectrum Community Services, Inc.
TEACH, Inc.
Department of Community Services and Development (CSD)
Association of California Community and Energy Services/So Cal Forum
Richard Heath & Associates
Hancock

2. Approval of March 19, 2014 minutes

M/S/A to accept the minutes of 3/19/14; N. Magsig/B. Caporaso

3. Director's Report – Linné Stout

Linné Stout introduced Ron Robinette who is the new -Chief Information Officer at CSD, and Leisa Maestretti who returned to CSD as the Assistant Deputy Director of Administrative.

May Revise: On May 13 the Governor's Revision to the State Budget also known as the May Revision was released:

The major item in the May Revise is tied to Heat and Eat. As we have previously discussed the changes to the Farm Bill which requires at least an amount of $20.01 in order for states to claim the Standard Utility Allowance that provides additional SNAP benefit would have a significant impact on LIHEAP. Due to this, the Budget includes $10.5M State General Fund for the Department of Social Services to implement a state-funded energy assistance subsidy.

In response to the concern voiced by some of the members of the House, U.S. Department of Health and Human Services (HHS) issued a letter dated May 13 which stated that "If ACF finds that grantees are providing LIHEAP benefits, for households without a home energy expense, they may if appropriate, disallow a portion of the LIHEAP funding that is attributed to those payments."

Below was not mentioned in the May Revision as no changes were made from the Governor's Proposed Budget:

Addressing Climate Change and Water Sustainability: The Budget proposes to invest $850 million of Cap and Trade auction proceeds to support efforts to reduce greenhouse gases (GHG), with an emphasis on assisting disadvantaged communities. To advance the Governor's Water Action Plan, the Budget also proposes $619 million to help expand water storage capacity, improve drinking water in communities where available supplies are substandard, increase flood protection and increase regional self-reliance. Of the $850 million to reduce GHG, at least $225M will be used to benefit disadvantaged communities, and includes investing $80 million in the CSD's low-income residential weatherization program.

Although the Governor didn't make any revisions, there have been hearings on the

Cap and Trade Investment Plan and both the Assembly and Senate have different proposals and it is currently being vetted in the Budget Conference Committee hearings.

We are continuing to work on the Cap and Trade Weatherization Assistance Plan in anticipation of receiving the funding.

CSD Strategic Plan: Unleashing Leaders is the consultant chosen for this task. CSD anticipates the contract to be executed on June 30. A survey will be sent out to the network and then the CSD consultant will reach out to them individually. CSD will also reach out to other stakeholders. The goal is to have the strategic plan implemented on July 1, 2015.

Drought: Drought Water Assistance Program (DWAP) is to assist drought impacted, low-income households with their residential water utility bill to prevent disruption in vital water services and to promote water conservation. The $600,000 program will be directed to families in 10 counties currently experiencing some of the worst drought impacts. These counties are Fresno, Kern, Kings, Madera, Merced, Monterey, San Benito, Santa Cruz, Stanislaus and Tulare.
http://www.csd.ca.gov/Newsroom/NewsReleases/June4,2014.aspx

Thousands of low-income California families who are impacted by the drought will soon be receiving rental assistance, thanks to a new $10 million grant program being offered through California's Department of Housing and Community Development (HCD). La Cooperativa, a nonprofit association, has been selected by HCD to administer the program, and assistance will begin flowing directly to California families in the coming weeks.

Heat Contingency Plan: CSD works closely with the Office of Emergency Services and receives daily updates from them. Last year this state had some significant heat waves that impacted several counties. As we receive reports of severe weather conditions that are forecasted, they will keep those area that are impacted informed so agencies can plan for using SWEATS if necessary.

Weatherization Waiver: The waiver request will be sent out next week. The waiver states that in FFY 2013 – California served 252,037 households (excluding weatherization), and it is projected that 270,312 households will be served in 2014 (excluding weatherization services).

Lead: CSD recently sent out a Survey of Interest and Capacity for the Lead Hazard Control Grant Program (Round 20) to assess interest, capacity, and ability to implement a lead hazard control program in your service area. They received notices from 4 (Fresno, CRP, Redwood, Maravilla) of the 5 existing providers and also CSET.

The Cal/Neva 50 year Anti-poverty celebration was a great event and CSD thanked

those that participated.

4. Chair's Report– Lynda Timbers

The next Roundtable will be on best practices for Energy Education and Cash Management. The agency plans will need to be sent to ACCES to compile for the next roundtable. The hope is to have a template or different plans made available to agencies to use in their programs. This will help all agencies and CSD during monitoring and for agencies to comply with programmatic requirements. The Roundtables will review plans and continue this review on to other areas of the programs administered.

5. Automation Update – Ron Robinette/Kathy Andry

CORE Update

Items to be deployed into CORE on 6/30 (Attachment #1):

- Phone Dup Flag – Revised the phone number duplicate check to validate against current program year only.
- WPO Pay Run (Expenditure Report) – Revised the CORE WPO expenditure report to cover a 1-month period only.
- Performance Measures – Modified CORE to accept data for the 7 new PY 2014 fields.
- Reissue Payment Returns (YTD Report) – Corrects the YTD report to more accurately reflect spent/encumbered amounts when a returned payment occurs.
- Web Services -- Revised the web service to communicate application and payment status updates to the front-end systems.
- Energy Burden -- Corrected the way CORE calculates energy burden percentage and updated all existing records.

EARS Changes

SWEATS Line Items Specific to Drought: CSD has implemented changes in EARS to capture data on clients that are served specifically as a result of the drought. The ability to report to the Governor's office on services provided for the drought is important. The changes have been sent to the vendors for their system changes. SWEATS have not been activated by any agency for the drought.

CSD added these changes in anticipation that the drought will be a long-term disaster and services under SWEATS may increase over time. By having separate data collection for SWEATS, it enables CSD to identify and report on clients served under sweats directly related to the drought.

We plan to continue data collection on SWEATS-drought in 2015.

2013/2014 DOE Line Item Changes: CSD is currently implementing the 2013/2014 DOE program into EARS. The changes providers can anticipate are consistent with the recent changes to LIHEAP to include:

- Removal of Heating/Cooling repair and replacement for Mobile Home Furnace and all will be reported in the same line item.
- Establishing R-Value ranges for ceiling and kneewall insulation
- Limited Home Repair

Once the changes are implemented and tested, then CSD will provide the data specifications to vendors for implementation. The specifications will also be shared with the providers.

The contract term for DOE will be from August to May. This will allow for time to close-out. The contracts will be released in July.

Comments:

On EARS for the LIHEAP contract there is a glitch. There are two weatherization drop downs. This is confusing and needs to be revised.

Note: CSD has made this correction.

Smart Forms Pilot Update: CSD's overarching goal is to require a general standardization of data collection and workflow to improve the quality of collected data and adherence to weatherization installation standards and procedures. The Smart Forms pilot is an automated solution to help us achieve this goal.

The testing has had mixed reviews. The field testing was positive to have the Weatherization Installation Standards (WIS) manual easily accessible. Field workers have offered positive reviews of the forms– making note of such features such as simplified steps, intuitive workflows, and linkages to the WIS as likeable features.

For the vendors there have been some logic requirements that could cause problems in the systems. Vendors, and to a certain degree some agencies, have expressed concerns to how these design features may intrude too far and require extensive changes to software application systems and organization business processes and methods of operating.

Basically the issue boils down to settling on the logic requirements (i.e., intuitive designs features, administrative controls) of the form, the cost and capability of local agency systems to host replica versions of the smart forms (equivalents satisfying data collection and design requirements), or if it is more cost-effective and administratively efficient for a single-designed set of Smart Forms to be managed and hosted by the state.

CSD has not made decisions yet on how to proceed and is continuing discussions with vendors on what is needed. CSD is trying to understand the way the data is put into any system. CSD recently had a call with vendors to advise that CSD was seeking a demonstration of their systems with RHA to be included so that we have a better understanding on whether the data contained in the forms can be accepted as or if the forms need to be modified to work with the system work flow.

CSD wanted to clarify with the vendors that this request was not to look at the architecture of the systems as stated but rather how the data from the forms can or cannot be integrated into the system.

CSD is reprioritizing its workload because of the aggressive schedule in implementing the Cap and Trade program. CSD decided that the automated diagnostic forms will be used for the Cap and Trade program. CSD will need data that shows savings to justify the measure and show GHG savings.

To accommodate an accelerated Cap and Trade program, CSD is proposing:

- The automated diagnostic forms will be utilized for the Cap and Trade program.
- Agencies will have to decide how the values of the forms will be transferred into the local systems manually or through automation.
- CSD will expand the data collection requirements - for example measure feasibility, documenting pre-existing conditions, etc. this data is needed to estimate GHG reduction and energy savings.

CSD will later decide how the forms might be integrated into the other programs. Over the long-term, CSD will continue to evaluate data collection standards and continue to work with the vendors to assess the feasibility of Smart Form integration into the local system.

Comments:

- As CSD goes into the discussions with the vendors the agencies should also be included.

- Cap and Trade will have approximately 25 agencies. CSD is evaluating different approaches to determine which measures will provide the best energy savings in relation to reducing GHG. CSD is considering a simplified process using a priority list and use of a basic energy audit tool for measures not on the priority list. The program will be leveraged with LIHEAP with the energy efficiency measures being applied to the Cap and Trade program and the H&S measures applied to LIHEAP.

The CPUC/CSD geographic pilot can be extended to the Cap and Trade funding, to assess leveraging opportunities with utility weatherization and LIHEAP as long as services are not duplicated.

Cap and Trade will have more requirements on the agencies. So if an agency has leveraging possibility then this will be a good way to layer the programs. CSD will have an assessment protocol that will look at complimenting measures. Other resources will also be evaluated for leveraging opportunities.

- Agency commented that the RHA tool is useful and implementation of the tool in the local system was anticipated. If it is not implemented, the agency has spent a lot of money for a billing tool. The tool is not used up to its capability. The system and tools need to be integrated into systems for maximum usefulness. Agencies have spent a lot of time and funding to integrate this into the chosen system. Now they feel that it may have been better to not have had the pilot and not spent the time and funds. Agencies feel that they need to be in the loop on any discussions with the vendors.

  CSD needs to have the discussions with the vendors on how the forms might be integrated into the respective systems. CSD needs to understand the costs on what this will take for the systems to integrate these forms. It will take longer than anticipated. Cost is needed to evaluate the forward movement for the forms. At this time, CSD feels that the vendor tools are not acceptable for agencies to use on these programs.

  CSD has to evaluate where the investments will come from to integrate the forms. CSD feels that forms offer assurance that the home is assessed properly. This is an enormous effort to integrate and then keep this all going. For now CSD will use the forms in Cap and Trade. It might spill over into LIHEAP if leveraging occurs. This is all for the objectives of the programs to reduce energy usage and lower costs to low-income households.

  CSD will have the discussion with the vendors on the costs.

- Is there a possibility for a timeframe on this integration? The agencies need a timeframe. When will this be implemented?

  Most of the pilot agencies like the forms. The Hancock Consortium wants to discuss this with CSD. The Hancock agencies have a formal MOU on how the consortium will conduct business.

- Cap and Trade will be limited to only some agencies, for those not in involved in this program will they also need to use the forms?

  Note: In 2015 CSD will look to implement the forms for both LIHEAP and DOE for all agencies.

The Smart Forms will be implemented for Cap and Trade so those agencies will need to use the forms with their LIHEAP program *(Note: DOE will not be leveraged with Cap and Trade).* CSD needs the data electronically to be able to calculate energy savings and GHG. The Cap and Trade will go live November 1st. In July, CSD will issue a survey of interest to agencies in the disadvantaged communities to determine participation and capacity. The survey will help CSD to decide on who will be receiving a ramp up contract. There will be costs for the integration of forms.

- So the audit tool will not be implemented, but the assessment tool will? Yes.

- If you are a LIHEAP and Cap and Trade provider then there will be two reporting systems?

  CSD has not been able to discuss this with the vendors. The Cap and Trade requirements will be more extensive. This will result in additional costs, which will need to be discussed between the vendors, agencies, and CSD.

- What happens if the vendors will not do this integration or reporting? Will CSD provide a system?

  CSD is working under a compressed timeline, and does not have the time for major IT changes for Cap and Trade. The more simple approach will be for the vendors to collect general data with CSD requirements. The calculation for the GHG reduction will be provided to the vendors. This will be the basic plan.

  If other data is collected this data will need to be collated and sent to CSD. The data from the electronic forms will need mapping for the collection. They are sensitive to the fact that no one has the funds for a major IT change.

  The Cap and Trade will be a short term program and should not have major changes done for this program.

  CSD will evaluate what and when the forms will be applied. The data collected will also be evaluated. They will need to maximize funds for all of these changes.

- There is not a clear message on the Cap and Trade program and how the agencies will report? Initially it may be a paper report?

  CSD may require a loaded list of measures. There may be a subcategory because of an energy audit. The tool will be simple on which measures will be Cap and Trade and which will be LIHEAP. A simple tool will be used to collect the data and report it to CSD.

- The REM audit tool can change measures out for those with a SIR more than 1. The $80 million must offset a certain amount of carbon (Note: The final

appropriation is $75M). Does CSD have the amount? So REM needs to be changed to calculate GHG?

REM may not be used. RHA is analyzing now on the benefits and GHG savings, and will show simple ways to achieve those requirements.

- So if an agency needs to offset a certain amount of carbon than the agencies will need to know what is possible. CSD needs to involve the agencies because in the field there are a lot of variables that will need to be incorporated.
  CSD understands this and is looking into what they need to do to achieve this.
  If a blend is needed, then the portfolio performance will need to be considered.
  The GHG and the energy saving as well as the dollar savings for the client need consideration. Goals will be set on these parameters.

  The reporting system will be built on existing reporting requirements. It has become clear that there will need to have different reporting systems. The Agencies will need to deal with having different systems.

- Will climate zones be considered in an audit?
  So far they know that the tool has limitations. They will decide on what might be best a new tool or changing the REM. Training needs to be a consideration and the timeline is very short.

- The vendors' tools should be evaluated as the HEAT tool in Hancock.

6. Energy Contracts - Kathy Andry

CSD reviewed closeout information from the 2011 DOE grant, 2013 LIHEAP grant, and current status of the 2014 LIHEAP contract.

2011 DOE (Attachment #2):

- 97% of the grant was expended with approximately $189,000 that will revert back to DOE.
- Statewide percentage for H&S was 11%.
- Direct Program Activities represent 55% of expenditures.
- Average cost per unit for just direct activities and H&S is $1,687.
- Average cost with support costs is $2,484 in which $796 was the cost to administer services to one unit.
- 4 agencies spent less than 90%.
- 17 agencies did not meet production goals.

2013 LIHEAP (Attachment #3):

- 91% of the grant was expended with approximately $12.9 Million unexpended that will be used for carryover in FFY2015.

- Carryover will be used to bridge the gap in funding. Based on the allocation methodology, carryover funds will be used to hold agencies to no more than a 20% reduction from their 2014 contract amount to minimize the impact of reductions.
- The most significant area of unexpended funds was in the EHA-16 Allocation - 85% expended with $6.6M unexpended.
- Weatherization -91% expended with $3M unexpended.
- HEAP - 95% expended with $1.8M unexpended.
- Fast Track - 96% expended with $1.1M unexpended.
- 13 agencies spent less than 90% of their grant.
- 31 agencies did not meet their expenditure goal.

2014 LIHEAP (Attachment #4):

- First quarter – expended 14% of the grant.
- 30 agencies did not meet their expenditure goal for the 1st Quarter.
- Total units/HH served is 32,717 versus projection of 35,070 for a difference of 2,353.
- 28 agencies did not meet their unit production goal for the 1st Quarter.

CSD will begin to evaluate the expenditure and production data with the goal to establishing reasonable target of services for the area, and reasonable expenditures levels for general operating expenses and program support costs. Additionally, CSD will evaluate historical expenditure and production data.

Weatherization Waiver: The draft waiver is out for a 10 day comment period to end June 19. CSD plans to submit to HHS on June 20. HHS has 45 days to respond so CSD anticipate responses by early August.

CSD submitted the waiver based on actual, trends and forecasts of serving 270,312 households in FFY 2014 for cash assistance, WPO, and crisis HCS by Sept. 30.

So far under the first quarter of 2014, agencies have served 30,290 HH so agencies have to serve 240,022 more households by Sept. 30.

Once the waiver is approved, agencies will be able to use their allocation for weatherization in the “B” column.

2013/2014 DOE Program Update:

Contract release: The contract is anticipated to be released in July.

WIS/Field Guide: The committee will meet July 9-10. CSD will send the members a notice about participating. If you would like others from your agency to participate please send this request to CSD.

Comments: There was a concerned expressed at the last LSP that some of the comments received after the review period may not be incorporated. Comments received from the ACCES meeting have been incorporated into the WIS matrix, and all comments received to date will be addressed.

To date, CSD has received 86 comments on the WIS document. There were policy comments as well as DOE regulation comments. The policy comments will be addressed in the Field Guide and Policy and Procedure Guide (P&P) and is not included in the WIS, except for the Health and Safety Requirements in WIS Section 1. The rest of the WIS is the quality control requirements for a measure, and does not contain policy statements.

CSD does not plan to hold up the WIS because the training materials are tied to this. The WIS will need to be done so the training and other related materials can be developed, in order to comply with deadlines described in our State Plan.

The Field Guide is being reviewed internally. It will have the same review as the WIS. Will the Field Guide be applied to the 2015 contract? No, it will be adopted for 2014 with the understanding that full implementation will not occur until completion of the review process and training webinar and/or online training to introduce these changes to the field personnel. The Field Guide will address DOE requirements associated with the WIS.

How will the committee be run? A matrix has been put together that captures all comments from the network which will be used to guide the discussion. If comments about other portions of the WIS or CSD policies arise, they will be noted and tabled until the next WIS discussion or Field Guide review, whichever is appropriate. The discussions in this meeting will be limited to the WIS matrix only.

Will the WIS be applied to Cap and Trade? Yes, the WIS is applicable to all CSD programs and will include new measures adopted by the Cap and Trade program.

The WIS, Field Guide and P&P will be adopted and made available online once the document is finalized. Going forward, annual updates to each of the documents will follow a schedule. Comments will be ended annually at a certain point, and any proposed changes after the cut-off period will be reviewed and added as an addendum to the WIS.

Inspector Training: All quality assurance inspectors must be certified by July 2015.

CSD will conduct a survey identify potential exam candidates at an agency, and to note the individual qualifications of each candidate. The survey will be sent out by mid-July. If there are some candidates who not meet minimum qualifications, CSD will evaluate each candidate on what is needed to prepare for the certification exam.

There are several entities that provide certification exams. BPI is in charge of monitoring the exam process. The training centers are accredited to train and may not be the same as the testing centers. There are testing centers but no training centers in California. It is not required to take the training to take the exam.

CSD will define the model for the state, and will provide information to the agencies about the next steps toward certification. We know that workshops will happen to better prepare candidates, and possibly accredited training will be authorized, although it would be organized on a state level. It is very important to wait to receive directions from CSD before taking steps toward certification, especially due to the limited funds available.

Agencies expressed concerned with the availability of training at the training centers. CSD will evaluate the training schedule at the training centers and agencies should contact CSD for their training needs. If there is a high demand for training, CSD can work with the centers to offer more frequent training.

CSD clarified that agencies seeking training from RHA should submit their request as normal and CSD will evaluate the training request.

Agencies expressed the concern with how the new training requirements imposed by DOE will be costly, and it may not feasible to operate a DOE program. CSD advised that a regional DOE program may be more feasible.

LWG Update

2015 LWG Work Plan (Attachment #5): CSD advised that the 2015 Agency Local Plan will be completed prior to the contract as a way to facilitate the release of the contract. The Plan will be comprehensive this year and agencies would simply update in the future years. Adjustments to a local plan can be done through a modification.

Comments will be reviewed and hopefully the contract can be out for further review by August.

Comments: We need to find a way that is faster to move the funding to different areas. CSD is streamlining the budget modification process to make it easier to transfer funds between service components. The new process will be implemented in 2015.

Fast Track is hard to project since it is about emergencies. The 45 days to move funds is a limitation on production and expending funds, and is a barrier for agencies to effectively management expenditure of funds. To be able to move the funds quicker and closer to the end of the contract would help both the agencies and the state.

CSD is confident that the modified 509 process that will eliminate the need to amend the contracts will help facilitate transfers.

Agency commented that it is difficult to project weatherization production. Agencies never know what kind of units will be assessed and the associated cost. CSD will evaluate unit production and only question agencies if the unit production is off considerably.

If agencies are on track with expenditures, will this be a better scenario? CSD is concerned if expenditures for downtime and program support are excessive in comparison to directly program activities.

Currently, the quarterly reports are reviewed by CSD staff and if there are discrepancies in expenditures and production the agency will receive a call from their field representative to better understand the barriers that caused deviation from goals.

Agency commented that they have weatherized units at the end of the quarter that is not completed so they have to move the production in the next quarter.

7. Managing Your Money Week (Attachment #6)– Ruth Holton Hodson

What is Manage Your Money Week?

Manage Your Money Week is a project of the State Controller's Financial Literacy Advisory Committee designed to:

1. Promote the importance of building the capacity of all Californians to make good financial decisions to achieve their goals;
2. Connect consumers to money management resources in their communities;
3. Build relationships between organizations that provide money management resources and education with other organizations whose constituents need the support;
4. Provide a framework for state, regional and local financial education groups to work in collaboration to highlight their programs and services.
   During Manage Your Money Week, state and local government agencies, non-profit organizations, unions, schools, libraries, financial institutions, and financial management associations will be working together in communities throughout California to host free money management education events and

promote the importance of good money management skills. Programs will be offered to all demographics in multiple languages and cover all facets of personal finance from opening a checking account and managing a budget, to credit counseling, first-time home buying, planning for retirement, avoiding financial scams, and starting a business.

Manage Your Money Week has state, regional and local partners. All organizations wishing to participate and be listed as a Manage Your Money Week partner, or Hub Leader, must submit an application to the MYMW state coordinators. MYMW@sco.ca.gov

How Do I Apply To Become A Partner?

To become a partner, simply complete the application on: www.sco.ca.gov/Files-EO/MYMW_Application.pdf

and email to: MYMW@sco.ca.gov

All applications will be reviewed and approved before an organization may participate as a Manage Your Money Week partner. You will be notified whether or not you have been approved within 10 business days of receipt of application.

8. Contract Reform – Kathy Andry/Mark Vessels

Contract Timeline Overview: CSD plans to place most of the contract provisions online. The budget modification and allocation spreadsheets will be simplified.

CSD has been working internally on the contract reform along with the LWG on Work Plan items.

Current reform efforts include:

- Reformatting the contract
- Streamlining the budget modification process
- Streamlining the allocation spreadsheet
- Comprehensive Agency Local Plan
- Reviewing entire contract to ensure language is clear

The goal is to have contract changes fully vetted through the LWG and the network by early October with contract released by mid-November to the network. CSD's goal is to have the startup package completed and made available by early December.

Please review and send your comments and issues in to CSD or the LWG.

Comments:

Will LIHEAP still have a priority list? Yes, but it may change depending upon how LIHEAP is leveraged with Cap and Trade. Currently LIHEAP is very heavy on the H&S work with less emphasis on energy efficiency. Energy efficiency needs to be a priority of the LIHEAP program.

H&S will still be included? Yes, but it may need to be connected to energy efficiency. There are focuses that could take into account a more energy efficiency aspect.

Streamlining Allocation Categories (Attachment #7): Currently there are two allocation spreadsheets with the contracts:

- Facesheet Spreadsheet (2 pages of 11x17 paper)
- Exhibits Spreadsheet (4 pages of 11x17 paper)

There will only be one allocation spreadsheet with the contracts:

A Condensed Facesheet Spreadsheet (2 pages of 11x17 paper)
The exhibit spreadsheet will be gone. The Facesheet will still exist. The Facesheet spreadsheet has 22 columns of information CSD is condensing this to 11 columns. The administration will be in a single place and include utility assistance (Non-Consideration) in the contract total. Other line items will be combined into others to reduce the columns.

The transfer of funds as from FT to HEAP or vice versa, CSD will look for a better way and quicker way to accomplish this.

Budget Forms;

Currently there are three budget forms with the contracts:

1. Weatherization Budget (CSD 557D)
2. ECIP/HEAP/A16 Budget (CSD 537E)
3. Utility Assistance (Non-Consideration) Budget (CSD 516)

CSD will eliminate CSD 516 and revise the other two budget forms.

Comments:

Agency commented that the efforts are good but this will complicate agencies that subcontract the work and adjustments will need to be made to track administrative costs.

Streamlining Transfer of Funds: CSD is modifying language in the contract to allow for the transfer of non-consideration to consideration using the 509 budget modification process.

Additionally, CSD is renaming “non-consideration” to Utility Assistance and “consideration” to Direct Services to better characterize the purpose of the funds.

CSD is working internally to accommodate this change, and will provide a detailed overview of the new process at the next provider meeting in September.

9. CSD Program Notice (CPN) – Kristen Hart

Vehicles:

Note: CSD is finalizing the Vehicle CPN and took into consideration comments received from the network via the LWG. CSD will release the draft CPN for a full 30 day review to the network prior to finalizing.

CSD clarified that the priority for usage goes to the contract that purchased the vehicle. The tracking must be done for each vehicle and will be monitored. The disposition of the vehicles will need to be tracked as well. Anything under $5,000 a plan must be submitted to CSD.

Comments:

If an agency receives an ARRA vehicle from another agency will they also be subject to all requirements? Yes.

If another program or if the agency buys the vehicle what would be the requirements? Regardless of who buys it all proceeds will be subject to the requirements.

If a program is using the vehicle it can be a transfer to either federal or non-federal programs. All requirements will be followed including tracking and transfer request.

Agency requested that CSD put a date on the difference versions of CPNs.

Excess Revenue: All excess revenue not expended must be returned to CSD.

10. CPUC Proceedings/Collaboration – Ronn Kaiser/Jason Wimbley

Coordinating the utilities’ low-income programs (CARE and ESA) goes back to the 2009 MOU between the CPUC and CSD. The MOU was requested by the Governor’s office and was intended to avoid duplication of effort and to provide better coordination between the programs and better services to low-income

families. CSD has been trying to work with the utilities starting with data sharing. This is ongoing along with other pilot projects as well.

As a party to the Smart Grid data-sharing proceeding, CSD advocated for a less restrictive data-sharing, which was supported by the Commission's proposed decision (PD), whereas the utilities argued for a more restrictive approach in which customer consent was required before data could be shared.

The PD suggested that CSD's advocacy for program coordination be referred to the low-income program proceedings already underway. CSD became a party to the low-income proceedings which was to guide and inform the utilities' application for the next three-year cycle of the CARE and ESA programs.

In commenting on the PD for the low-income program proceedings, CSD suggested that there should be a more formalized process for coordination of the utility and federal programs, to include the establishment of a program coordination working group. CSD also suggested that CSD and the utilities explore the development of a statewide database to better enable program coordination and that the CPUC authorize a feasibility study for that purpose. This was in an effort to better coordinate services.

The utilities are resisting the notion of a statewide database, preferring that each utility share information with CSD and the LSPs on a bilateral basis.

The IOUs on June 3 met with CSD to discuss Cap and Trade and ways to collaborate in identifying high energy users, identifying service saturation, and leveraging opportunities.

A discussion was held on the joint demonstration projects.

Comments:

Agencies commented that the IOUs have been pushing clients to sign up for payment arrangements which could make the household not eligible for Fast Track or for less funds. Agencies requested that CSD bring this issue to the IOUs to coordinate HEAP and FT.

CSD advised that the IOUs have experienced that when they refer a customer to an agency the payment is not processed in a timely way.

Agency commented that PG&E representatives have told some agencies that they do not want the HEAP application in their offices. They were told that they do not want the HEAP clients in their offices. These are also their customers and this is not cooperative.

CSD has asked for a joint working group with the IOUs.

11. CPUC Pilot Project Update – Chuck Belk/Lynn Wiley

The Geographic pilot has completed 82 units. Butte and Fresno were the participating agencies in this pilot. CSD has done some pre finish analysis. This pilot was to show possibly what the savings and administrative overhead might be for kind of work.

The solar water heating pilot has installed 75 units so far. It has picked up since the last LSP. There have been some issues in LA on permitting. RHA will have a meeting with them next week. The IOUs have increased their outreach efforts as well as the agencies outreaching to use the regular rebate.

There is a high interest to see this pilot succeed. This will be a measure with the Cap and Trade.

There are two webinars on June 18 and 25th @ 8 AM for the tablet assessment. If you are interested please contact Chuck and he will send the invitation.

The rebates are limited to the 4 IOUs.

The bulk purchasing will have a survey to the network for measures they think that they are interested in having a statewide cost. This is to find ways to lower costs statewide for materials.

12. Announcements

- **Next Quarterly LSP Meeting – September 25**
- **ACCES Roundtable Session – September 24**

Adjournment: 2:47 PM

Information Technology Services

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

CORE Priority Items

Updated: 7/8/14

Items to be deployed into CORE on 6/30:

- **Phone Dup Flag** – Revised the phone number duplicate check to validate against current program year only.
- **WPO Pay Run (Expenditure Report)** – Revised the CORE WPO expenditure report to cover a 1-month period only.
- **Performance Measures** – Modified CORE to accept data for the 7 new PY 2014 fields.
- **Reissue Payment Returns (YTD Report)** – Corrects the YTD report to more accurately reflect spent/encumbered amounts when a returned payment occurs.
- **Web Services** -- Revised the web service to communicate application and payment status updates to the front-end systems.
- **Energy Burden** -- Corrected the way CORE calculates energy burden percentage and updated all existing records.

Quarter 3 Release (Fall 2014):

- **Returned Payments** – Enable LSPs to update Application/Utility information on applications with a returned payment status.
- **Reports**:
    - Revise selection criteria for the following reports:
        - Customer Application Details Report
        - Variance Report
        - YTD Report
        - Deficient/Rejection Report
    - Merged Cells – Remove merged data cells in the reports so the reports can be sorted when exported.
- **Payment status updates** – correct the process in CORE which updates a direct payment status (e.g., moving a payment status from Sent to Utility to Utility Account Credited).
- **WPO Applications** – Revise CORE to reject a WPO application with a 0 payment amount.
- **User Accounts** – Allow CORE users the ability to change their own password.

Known CORE Issues Not Yet scheduled (not in priority order):

- **WPO Payment Adjustments** – Allow a payment adjustment to be made on a WPO application.

- **Address Search** – Correct the functionality of address search. Currently not searching on all address fields.
- **SCO Pay Runs** – Correct the way some addresses are displayed in the SCO Pay Run.
- **Payment Adjustments** – Enable LSPs to make payment adjustments on a Fast Track application (e.g., forgot to include a supplemental payment for Fast Track).
- **Global Search Screen**
- **Contract Totals** – Display allocated and expended amounts by contract for multi-county providers.
- **Contract Views** - Want the ability to view multiple contracts at once.
- **Progress wheel/hour glass** -- Add indication of processing so user knows the system is working.
- **Customer Screen** – Display, in descending order, only the latest application per program year.
- **User Manual** -- Update the user manual to provide more in depth information.
- **ASCII Characters** -- Expand the disallowed character list to include extended ASCII characters.
- **Reports** – Create additional CORE reports to match what was available in CLASS.
- **HH Served** – Add the number of people served to the agency contract screen so it shows the amounts allocated, spent, and HHs served.
- **Note Fields** – Reduce the number of available Note fields.
- **Home Weatherized** – Add a field on the application screen that indicates whether the home has been weatherized.

June 2014

2011 DOE WAP Summary

Agency	Contract Number	Total Allocation	Total Expenditure	% Actual Expenditure	% Projected Expenditure	% Difference	≥ 90% Expenditure	Actual Units	Projected Units	Difference
Spectrum Community Svcs, Inc.	11C-1801	$ 322,100.00	$ 309,529.31	96%	100%	-4%	Yes	68	78	-10
Amador-Tuolumne CAA	11C-1802	$ 38,533.00	$ 35,728.90	93%	100%	-7%	Yes	27	16	11
Butte County Inc. CAA	11C-1803	$ 194,012.00	$ 194,012.02	100%	100%	0%	Yes	34	34	0
Glenn County HRA	11C-1804	$ 103,168.00	$ 77,405.68	75%	100%	-25%	No	16	26	-10
Contra Costa County CSD	11C-1805	$ 117,520.00	$ 117,816.97	100%	100%	0%	Yes	47	26	21
El Dorado County DCS	11C-1807	$ 53,196.00	$ 52,644.54	99%	100%	-1%	Yes	26	12	14
Fresno County EOC	11C-1808	$ 273,839.00	$ 273,838.07	100%	100%	0%	Yes	46	55	-9
Redwood CAA	11C-1809	$ 78,021.00	$ 78,021.00	100%	100%	0%	Yes	16	21	-5
Campesinos Unidos, Inc	11C-1810	$ 312,584.00	$ 303,871.63	97%	100%	-3%	Yes	96	96	0
IMACA	11C-1811	$ 20,378.00	$ 18,138.72	89%	100%	-11%	Yes	9	9	0
CAP of Kern	11C-1812	$ 212,071.00	$ 205,656.74	97%	100%	-3%	Yes	171	121	50
Kings CAO	11C-1813	$ 35,041.00	$ 35,041.00	100%	100%	0%	Yes	14	11	3
North Coast Energy Svcs	11C-1814	$ 269,326.00	$ 269,326.00	100%	100%	0%	Yes	34	39	-5
Lassen EDC	11C-1815	$ 16,992.00	$ 16,822.10	99%	100%	-1%	Yes	14	8	6
CES	11C-1816	$ 320,380.00	$ 320,380.00	100%	100%	0%	Yes	223	195	28
Maravilla Foundation	11C-1817	$ 115,260.00	$ 97,479.30	85%	100%	-15%	No	48	50	-2
PACE	11C-1818	$ 257,419.00	$ 257,419.00	100%	100%	0%	Yes	113	93	20
Long Beach CSD	11C-1819	$ 1,000,121.00	$ 1,000,121.00	100%	100%	0%	Yes	408	417	-9
Mariposa County HSD	11C-1820	$ 9,149.00	$ 9,149.00	100%	100%	0%	Yes	22	9	13
Merced County CAA	11C-1821	$ 106,718.00	$ 106,718.00	100%	100%	0%	Yes	20	21	-1
Nevada County	11C-1823	$ 30,267.00	$ 15,643.35	52%	100%	-48%	No	2	6	-4
CAP of Orange County	11C-1824	$ 220,048.00	$ 220,048.00	100%	100%	0%	Yes	117	115	2
Project Go, Inc.	11C-1825	$ 42,389.00	$ 42,389.00	100%	100%	0%	Yes	21	21	0
Plumas County CDC	11C-1826	$ 16,096.00	$ 16,095.59	100%	100%	0%	Yes	5	5	0
CAP of Riverside County	11C-1827	$ 242,436.00	$ 242,436.00	100%	100%	0%	Yes	76	72	4
CRP, Inc.	11C-1828	$ 298,662.00	$ 298,662.00	100%	100%	0%	Yes	64	81	-17
CAP San Bernardino	11C-1829	$ 495,440.00	$ 426,828.53	86%	100%	-14%	No	114	100	14
MAAC	11C-1830	$ 134,158.00	$ 134,157.91	100%	100%	0%	Yes	38	430	-392
EOC of San Francisco	11C-1831	$ 169,454.00	$ 169,454.00	100%	100%	0%	Yes	102	50	52
San Joaquin County	11C-1832	$ 145,791.00	$ 145,791.00	100%	100%	0%	Yes	50	52	-2
CAP of San Luis Obispo	11C-1833	$ 109,787.00	$ 103,640.16	94%	100%	-6%	Yes	39	46	-7
CRP, Inc. San Mateo	11C-1834	$ 93,935.00	$ 93,935.00	100%	100%	0%	Yes	17	70	-53
Santa Barbara County	11C-1835	$ 68,172.00	$ 68,171.50	100%	100%	0%	Yes	24	20	4
Sacred Heart	11C-1836	$ 142,000.00	$ 142,000.00	100%	100%	0%	Yes	314	303	11
Central Coast Energy Svcs, Inc.	11C-1837	$ 137,347.00	$ 137,347.00	100%	100%	0%	Yes	54	86	-32

2013 LIHEAP Statewide Expenditure

Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	≥ 90% Expenditure
Spectrum Community Svcs. Inc.	13B-5001	$ 1,379,914.00	$ 1,373,914.00	$ 1,842,130.00	$ 1,242,194.23	$ 934,706.00	$ 549,959.24	$ 672,275.00	$ 343,635.00	$ 4,829,025.00	$ 3,509,702.47	73%	No
Amador-Tuolumne CAA	13B-5002	$ 325,493.00	$ 325,493.00	$ 480,254.00	$ 455,433.16	$ 213,417.00	$ 187,675.00	$ 192,202.00	$ 167,852.67	$ 1,211,366.00	$ 1,136,453.83	94%	Yes
Butte County Inc. CAA	13B-5003	$ 532,297.00	$ 532,297.00	$ 953,237.00	$ 953,237.00	$ 146,387.00	$ 146,387.00	$ 264,752.00	$ 264,752.00	$ 1,896,673.00	$ 1,896,673.00	100%	Yes
Glenn County HRA	13B-5004	$ 257,466.00	$ 211,721.56	$ 475,552.00	$ 431,235.77	$ 113,541.00	$ 113,541.00	$ 157,484.00	$ 157,484.00	$ 1,004,043.00	$ 913,982.33	91%	Yes
Contra Costa County CSD	13B-5005	$ 876,933.00	$ 876,933.00	$ 711,030.00	$ 710,854.36	$ 584,005.00	$ 584,005.00	$ 966,410.00	$ 966,410.00	$ 3,138,378.00	$ 3,138,202.36	100%	Yes
El Dorado County DCS	13B-5007	$ 360,700.00	$ 360,700.00	$ 680,031.00	$ 496,324.49	$ 346,507.00	$ 271,471.00	$ 29,834.00	$ 27,982.00	$ 1,417,072.00	$ 1,156,477.49	82%	No
Fresno County EOC	13B-5008	$ 1,994,243.00	$ 1,994,243.00	$ 1,386,167.00	$ 1,170,038.24	$ 2,313,884.00	$ 2,313,884.00	$ 1,749,079.00	$ 1,749,079.00	$ 7,443,373.00	$ 7,227,244.24	97%	Yes
Redwood CAA	13B-5009	$ 641,540.00	$ 541,540.00	$ 900,213.00	$ 900,213.00	$ 271,221.00	$ 271,221.00	$ 113,729.00	$ 113,729.00	$ 1,926,703.00	$ 1,826,703.00	95%	Yes
Campesinos Unidos, Inc	13B-5010	$ 1,276,227.00	$ 729,618.86	$ 1,371,679.00	$ 803,215.41	$ 695,750.00	$ 477,655.49	$ 1,574,050.00	$ 1,261,205.83	$ 4,917,706.00	$ 3,271,695.59	67%	No
IMACA	13B-5011	$ 199,061.00	$ 94,476.91	$ 577,597.00	$ 324,349.37	$ 16,689.00	$ 8,833.00	$ 8,344.00	$ 6,174.00	$ 801,691.00	$ 433,833.28	54%	No
CAP of Kern	13B-5012	$ 1,404,986.00	$ 1,279,797.09	$ 1,199,071.00	$ 813,512.79	$ 1,080,891.00	$ 1,078,956.00	$ 1,351,115.00	$ 1,346,246.79	$ 5,036,063.00	$ 4,518,512.67	90%	Yes
Kings CAO	13B-5013	$ 230,281.00	$ 230,281.00	$ 312,616.00	$ 224,828.29	$ 292,719.00	$ 292,719.00	$ 97,572.00	$ 97,572.00	$ 933,188.00	$ 845,400.29	91%	Yes
North Coast Energy Svcs	13B-5014	$ 1,801,526.00	$ 1,801,483.21	$ 1,909,392.00	$ 1,697,489.41	$ 1,288,208.00	$ 1,223,377.86	$ 1,458,674.00	$ 1,456,337.00	$ 6,457,800.00	$ 6,178,687.48	96%	Yes
Lassen EDC	13B-5015	$ 131,782.00	$ 126,931.28	$ 407,642.00	$ 370,949.94	$ 13,856.00	$ 13,856.00	$ -	$ -	$ 553,280.00	$ 511,737.22	92%	Yes
CES	13B-5016	$ 2,322,799.00	$ 2,243,432.51	$ 3,721,999.00	$ 3,342,317.66	$ 1,604,422.00	$ 1,604,422.00	$ 858,407.00	$ 858,407.00	$ 8,507,627.00	$ 8,048,579.17	95%	Yes
Maravilla Foundation	13B-5017	$ 2,399,758.00	$ 2,374,419.84	$ 2,979,162.00	$ 2,723,158.22	$ 3,601,108.00	$ 3,391,062.40	$ 250,000.00	$ 250,000.00	$ 9,230,028.00	$ 8,738,640.46	95%	Yes
PACE	13B-5018	$ 1,669,677.00	$ 1,669,677.00	$ 1,730,172.00	$ 1,534,646.20	$ 1,067,762.00	$ 1,067,762.00	$ 1,983,880.00	$ 1,983,880.00	$ 6,451,491.00	$ 6,255,965.20	97%	Yes
Long Beach CSD	13B-5019	$ 2,662,190.00	$ 2,530,218.00	$ 1,452,847.00	$ 1,268,283.04	$ 3,052,637.00	$ 3,048,076.85	$ 3,052,639.00	$ 3,052,639.00	$ 10,220,313.00	$ 9,899,216.89	97%	Yes
Madera CAC	13B-5020	$ 308,273.00	$ 308,273.00	$ 252,362.00	$ 252,362.00	$ 394,335.00	$ 391,933.00	$ 290,687.00	$ 290,687.00	$ 1,245,657.00	$ 1,243,255.00	100%	Yes
CAM	13B-5021	$ -	$ -	$ 190,838.00	$ 125,861.85	$ 151,218.00	$ 151,218.00	$ 161,028.00	$ 161,028.00	$ 503,084.00	$ 438,107.85	87%	No
Mariposa County HSD	13B-5022	$ 121,170.00	$ 121,028.00	$ 302,554.00	$ 302,058.38	$ 38,231.00	$ 38,231.00	$ 48,131.00	$ 48,131.00	$ 510,086.00	$ 509,448.38	100%	Yes
Merced County CAA	13B-5023	$ 438,777.00	$ 438,777.00	$ 437,434.00	$ 437,434.00	$ 119,439.00	$ 119,439.00	$ 717,194.00	$ 717,194.00	$ 1,712,844.00	$ 1,712,844.00	100%	Yes
TEACH (ECIP and HEAP only)	13B-5024	$ -	$ -	$ 230,430.00	$ 215,401.00	$ 98,367.00	$ 50,712.40	$ 23,421.00	$ 23,421.00	$ 352,218.00	$ 289,534.40	82%	No
Nevada County HCS	13B-5025	$ -	$ -	$ 236,992.00	$ 186,596.97	$ 153,272.00	$ 146,238.30	$ 117,323.00	$ 91,855.00	$ 507,587.00	$ 424,690.27	84%	No
CAP of Orange County	13B-5026	$ 1,426,301.00	$ 1,401,078.32	$ 1,625,919.00	$ 1,599,007.05	$ 1,208,035.00	$ 1,206,568.80	$ 1,208,035.00	$ 1,208,038.00	$ 5,468,290.00	$ 5,414,692.17	99%	Yes
Project Go, Inc.	13B-5027	$ 291,499.00	$ 219,499.00	$ 345,244.00	$ 345,244.00	$ 200,887.00	$ 200,887.00	$ 200,886.00	$ 200,886.00	$ 1,038,516.00	$ 966,516.00	93%	Yes
Plumas County CDC	13B-5028	$ 134,201.00	$ 134,151.99	$ 364,784.00	$ 364,784.00	$ 41,103.00	$ 39,250.00	$ 14,161.00	$ 9,817.00	$ 554,249.00	$ 548,002.99	99%	Yes
CAP of Riverside County	13B-5030	$ 1,885,888.00	$ 849,891.47	$ 1,804,948.00	$ 628,689.14	$ 2,362,780.00	$ 1,925,731.07	$ 937,610.00	$ 937,610.00	$ 6,991,226.00	$ 4,341,921.68	62%	No
CRP, Inc.	13B-5031	$ 1,914,184.00	$ 1,914,184.00	$ 2,780,255.00	$ 2,780,254.99	$ 1,671,128.00	$ 1,671,128.00	$ 1,019,783.00	$ 1,019,783.00	$ 7,385,350.00	$ 7,385,349.99	100%	Yes
San Benito	13B-5032	$ -	$ -	$ 131,568.00	$ 115,176.00	$ 120,869.00	$ 120,869.00	$ 121,029.00	$ 121,029.00	$ 373,466.00	$ 357,074.00	96%	Yes
CAP San Bernardino	13B-5033	$ 2,081,957.00	$ 2,080,547.38	$ 1,029,617.00	$ 795,341.17	$ 1,604,667.00	$ 1,604,667.00	$ 3,493,298.00	$ 3,216,937.27	$ 8,209,539.00	$ 7,697,492.82	94%	Yes
MAAC	13B-5034	$ 631,575.00	$ 631,575.00	$ 689,671.00	$ 689,671.00	$ 720,177.00	$ 720,177.00	$ 392,823.00	$ 392,823.00	$ 2,434,246.00	$ 2,434,246.00	100%	Yes
EOC of San Francisco	13B-5035	$ 898,147.00	$ 873,751.83	$ 681,417.00	$ 417,495.90	$ 1,113,075.00	$ 1,111,154.00	$ 513,726.00	$ 513,726.00	$ 3,206,365.00	$ 2,916,127.73	91%	Yes
San Joaquin County	13B-5036	$ 976,679.00	$ 515,980.36	$ 565,764.00	$ 540,688.84	$ 1,355,323.00	$ 1,355,323.00	$ 864,107.00	$ 864,107.00	$ 3,761,873.00	$ 3,276,099.20	87%	No
CAP of San Luis Obispo	13B-5037	$ 296,858.00	$ 296,858.00	$ 398,856.00	$ 398,856.00	$ 179,191.00	$ 179,191.00	$ 165,084.00	$ 149,250.00	$ 1,039,989.00	$ 1,024,155.00	98%	Yes
CRP, Inc. San Mateo	13B-5038	$ 428,419.00	$ 167,200.86	$ 614,148.00	$ 305,140.65	$ 454,965.00	$ 186,240.00	$ 196,243.00	$ 72,875.00	$ 1,693,775.00	$ 731,456.51	43%	No
Santa Barbara County	13B-5039	$ 457,447.00	$ 457,447.00	$ 943,019.00	$ 919,949.55	$ 197,549.00	$ 128,115.09	$ 117,157.00	$ 117,157.00	$ 1,715,172.00	$ 1,622,668.64	95%	Yes
Sacred Heart	13B-5040	$ 1,118,551.00	$ 1,033,444.63	$ 834,261.00	$ 443,717.15	$ 1,699,967.00	$ 1,699,967.00	$ 290,238.00	$ 290,238.00	$ 3,943,017.00	$ 3,467,366.78	88%	No

2013 LIHEAP Statewide Expenditure

Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	≥ 90% Expenditure
Central Coast Energy Svcs Inc.	13B-5041	$ 1,395,671.00	$ 1,395,670.99	$ 912,134.00	$ 912,133.51	$ 1,147,399.00	$ 1,147,399.00	$ 353,047.00	$ 353,047.00	$ 3,808,251.00	$ 3,808,250.50	100%	Yes
SHHIP	13B-5042	$ 615,116.00	$ 615,116.00	$ 1,127,454.00	$ 1,108,959.07	$ 295,797.00	$ 284,806.40	$ 355,793.00	$ 344,158.97	$ 2,394,160.00	$ 2,353,040.44	98%	Yes
Great Northern Corp.	13B-5043	$ 298,589.00	$ 298,589.00	$ 513,391.00	$ 505,439.15	$ 190,632.00	$ 185,534.64	$ 149,057.00	$ 146,923.92	$ 1,151,669.00	$ 1,136,486.71	99%	Yes
CVOC	13B-5044	$ 718,579.00	$ 718,155.72	$ 569,532.00	$ 543,029.92	$ 956,288.00	$ 956,288.00	$ 352,460.00	$ 352,460.00	$ 2,596,859.00	$ 2,569,933.64	99%	Yes
CSET	13B-5045	$ 952,981.00	$ 916,531.11	$ 1,442,014.00	$ 1,307,100.35	$ 1,083,898.00	$ 1,083,898.00	$ 222,089.00	$ 222,089.00	$ 3,700,982.00	$ 3,529,618.46	95%	Yes
Ventura County CHC	13B-5046	$ 469,507.00	$ 388,536.92	$ 585,905.00	$ 373,168.94	$ 254,022.00	$ 254,022.00	$ 571,492.00	$ 571,492.00	$ 1,880,926.00	$ 1,587,219.86	84%	No
Project Go, Inc.	13B-5047	$ 237,573.00	$ 148,326.41	$ 271,759.00	$ 271,759.00	$ 50,000.00	$ 50,000.00	$ 75,000.00	$ 75,000.00	$ 634,332.00	$ 545,085.41	86%	No
STATEWIDE EXPENDITURE TOTALS:		**$ 38,564,815**	**$ 35,221,791**	**$ 42,973,061**	**$ 36,347,600**	**$ 35,500,324**	**$ 33,653,852**	**$ 27,751,348**	**$ 26,615,148**	**$ 144,789,548**	**$ 131,838,391**	**91%**	**Yes**
% Statewide Expenditure		**Wx**	**91%**	**EHA-16**	**85%**	**HE**	**95%**	**FT**	**96%**				

# of Agencies < 90 % Expenditure	**13**
# of Agencies < Unit Goal	**31**

Category	Allocation	Expenditure	%
Wx - Direct Program Activity	$ 16,767,347	$ 4,320,282	26%
EHA-16 EHCS & WPO	$ 15,774,652	$ 15,514,883	98%
Utility Assistance	$ 63,251,672	$ 60,269,000	95%
Prog. Services TOTAL 2013 LIHEAP	***$ 95,793,671***	***$ 80,104,165***	***84%***
Total 2013 LIHEAP	**$ 144,789,548**	**$ 131,838,391**	**91%**

Category	Allocation	Expenditure
Wx - DPA Vs. Statewide Total	12%	3%
EHA-16 EHCS & WPO Vs. Statewide Total	37%	12%
Utility Assistance Vs. Statewide Total	44%	46%

Average Cost Per Service	$ 394.34
Average Cost Per Service (Loaded)	$ 649.02
Difference (Cost to Administer)	$ 254.68

2013 LIHEAP Unit Production

Agency	Contract Number	Actual Wx Units	Projected Wx Units	Actual EHA-16 Units (EHCS & WPO)	Projected EHA-16 Units	Actual HEAP Units	Projected HEAP	Actual Fast Track Units	Projected Fast Track Units	Total Actual Units	Total Projected Units	Difference
Spectrum Community Svcs. Inc.	13B-5001	318	423	160	318	2,488	3666	1,198	2193	4164	6600	-2436
Amador-Tuolumne CAA	13B-5002	81	107	393	568	726	719	300	211	1500	1605	-105
Butte County Inc. CAA	13B-5003	156	144	545	1,380	531	1182	586	1059	1818	3765	-1947
Glenn County HRA	13B-5004	33	57	278	481	388	390	412	350	1111	1278	-167
Contra Costa County CSD	13B-5005	128	165	62	27	1,983	1600	2,583	2650	4756	4442	314
El Dorado County DCS	13B-5007	101	317	755	881	724	913	35	37	1615	2148	-533
Fresno County EOC	13B-5008	348	359	189	187	7,388	7584	4,669	5641	12594	13771	-1177
Redwood CAA	13B-5009	204	378	594	449	833	200	311	200	1942	1227	715
Campesinos Unidos, Inc	13B-5010	232	435	119	275	1,790	3354	2,647	1325	4788	5389	-601
IMACA	13B-5011	19	52	292	268	27	21	7	17	345	358	-13
CAP of Kern	13B-5012	364	489	242	216	3,616	3603	2,133	1662	6355	5970	385
Kings CAO	13B-5013	89	92	24	49	898	888	295	296	1306	1325	-19
North Coast Energy Svcs	13B-5014	877	973	957	921	4,272	4645	2,504	2376	8610	8915	-305
Lassen EDC	13B-5015	40	100	328	302	46	278	0	0	414	680	-266
CES	13B-5016	1,346	1,000	1,502	1,810	5,080	1472	2,210	126	10138	4408	5730
Maravilla Foundation	13B-5017	1,505	1,100	1,004	950	10,733	12000	482	500	13724	14550	-826
PACE	13B-5018	1,155	1,000	357	500	3,376	7000	3,939	3500	8827	12000	-3173
Long Beach CSD	13B-5019	555	645	16	20	10,092	9130	6,845	5790	17508	15585	1923
Madera CAC	13B-5020	77	57	137	119	1,383	1239	850	845	2447	2260	187
CAM	13B-5021	0	0	81	90	497	272	389	825	967	1187	-220
Mariposa County HSD	13B-5022	38	46	375	270	147	120	83	88	643	524	119
Merced County CAA	13B-5023	123	80	66	90	522	593	2,317	2145	3028	2908	120
TEACH (ECIP and HEAP only)	13B-5024	0	0	295	55	181	0	37	26	513	81	432
Nevada County HCS	13B-5025	0	69	182	262	406	297	142	298	730	926	-196
CAP of Orange County	13B-5026	490	425	329	195	4,150	4120	2,797	3000	7766	7740	26
Project Go, Inc.	13B-5027	94	500	182	164	557	504	548	503	1381	1671	-290
Plumas County CDC	13B-5028	23	43	486	492	160	148	28	46	697	729	-32
CAP of Riverside County	13B-5030	184	620	102	323	6,091	7383	2,253	2344	8630	10670	-2040
CRP, Inc.	13B-5031	773	586	452	297	5,842	6923	2,451	4176	9518	11982	-2464
San Benito	13B-5032	0	0	14	42	444	402	337	363	795	807	-12
CAP San Bernardino	13B-5033	297	1,030	151	522	5,264	2321	6,439	5308	12151	9181	2970

2013 LIHEAP Unit Production

Agency	Contract Number	Actual Wx Units	Projected Wx Units	Actual EHA-16 Units (EHCS & WPO)	Projected EHA-16 Units	Actual HEAP Units	Projected HEAP	Actual Fast Track Units	Projected Fast Track Units	Total Actual Units	Total Projected Units	Difference
MAAC	**13B-5034**	183	409	179	93	2,818	3421	1,239	1309	4419	5232	-813
EOC of San Francisco	**13B-5035**	264	250	53	975	6,059	7800	1,041	975	7417	10000	-2583
San Joaquin County	**13B-5036**	147	482	40	44	4,681	5005	1,991	1569	6859	7100	-241
CAP of San Luis Obispo	**13B-5037**	74	80	175	150	717	700	463	650	1429	1580	-151
CRP, Inc. San Mateo	**13B-5038**	76	88	29	124	685	1900	120	810	910	2922	-2012
Santa Barbara County	**13B-5039**	387	250	111	112	511	1125	339	140	1348	1627	-279
Sacred Heart	**13B-5040**	607	500	23	35	6,696	6590	624	1446	7950	8571	-621
Central Coast Energy Svcs Inc.	**13B-5041**	506	356	232	320	4,493	4450	1,306	800	6537	5926	611
SHHIP	**13B-5042**	232	185	952	580	887	995	512	389	2583	2149	434
Great Northern Corp.	**13B-5043**	55	55	628	525	529	651	209	279	1421	1510	-89
CVOC	**13B-5044**	284	190	36	30	2,849	3104	1,015	1060	4184	4384	-200
CSET	**13B-5045**	189	200	229	635	3,264	3245	327	328	4009	4408	-399
Ventura County CHC	**13B-5046**	155	210	59	196	883	566	1,696	1617	2793	2589	204
Project Go, Inc.	**13B-5047**	45	45	180	151	136	125	134	188	495	509	-14
STATEWIDE UNIT PRODUCTION TOTALS:		**12,854**	**14,592**	**13,595**	**16,493**	**115,843**	**122,644**	**60,843**	**59,460**	**203,135**	**213,189**	**-10054**

June 2014

2014 LIHEAP Statewide Expenditures 1st Quarter 2014

Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	% Projected Expenditure	% Difference
Spectrum Community Svcs Inc.	14B-5001	$ 1,076,792.00	$ 269,061.08	$ 1,901,057.00	$ 232,995.96	$ 1,491,663.00	$ 92,470.00	$ 803,203.00	$ 66,555.00	$ 5,272,715.00	$ 661,082.04	13%	25%	-12%
Amador-Tuolumne CAA	14B-5002	$ 327,601.00	$ 65,102.93	$ 547,731.00	$ 64,933.78	$ 231,897.00	$ 11,736.00	$ 228,436.00	$ 8,873.00	$ 1,335,665.00	$ 150,645.71	11%	12%	-1%
Butte County Inc. CAA	14B-5003	$ 1,750,569.00	$ 35,000.00	$ 1,145,459.00	$ 35,000.00	$ 187,521.00	$ -	$ 337,537.00	$ -	$ 3,421,086.00	$ 70,000.00	2%	5%	-3%
Glenn County HRA	14B-5004	$ 265,999.00	$ 30,286.65	$ 498,205.00	$ 50,653.79	$ 121,044.00	$ 14,299.00	$ 132,048.00	$ 30,613.00	$ 1,017,296.00	$ 125,852.44	12%	14%	-1%
Contra Costa County CSD	14B-5005	$ 912,922.00	$ 234,879.22	$ 915,417.00	$ 174,012.17	$ 675,161.00	$ 34,358.00	$ 1,118,838.00	$ 38,321.00	$ 3,622,338.00	$ 481,570.39	13%	9%	4%
El Dorado County DCS	14B-5007	$ 515,071.00	$ 92,826.46	$ 1,086,243.00	$ 38,230.24	$ 500,646.00	$ 7,059.00	$ 43,534.00	$ -	$ 2,145,494.00	$ 138,115.70	6%	11%	-5%
Fresno County EOC	14B-008	$ 2,106,307.00	$ 334,766.39	$ 1,980,834.00	$ 242,755.40	$ 2,447,879.00	$ 263,058.00	$ 1,824,783.00	$ 262,316.00	$ 8,359,803.00	$ 1,102,895.79	13%	14%	-1%
Redwood CAA-Del Norte	14B-5006	$ 179,945.00	$ 12,566.30	$ 381,164.00	$ 28,550.12	$ 133,080.00	$ 15,542.00	$ 95,057.00	$ 36,917.00	$ 789,246.00	$ 93,575.42	12%	15%	-3%
Redwood CAA-Humboldt	14B-5009	$ 569,826.00	$ 35,458.38	$ 954,608.00	$ 57,290.81	$ 328,250.00	$ 60,861.00	$ 234,465.00	$ 63,652.00	$ 2,087,149.00	$ 217,262.19	10%	14%	-4%
Campesinos Unidos, Inc	14B-5010	$ 1,356,930.00	$ 178,967.65	$ 2,192,609.00	$ 170,634.09	$ 1,003,532.00	$ 59,737.00	$ 1,404,945.00	$ 68,719.00	$ 5,958,016.00	$ 478,057.74	8%	12%	-4%
IMACA	14B-5011	$ 212,390.00	$ -	$ 562,941.00	$ 20,160.86	$ 17,573.00	$ -	$ 8,787.00	$ -	$ 801,691.00	$ 20,160.86	3%	5%	-2%
CAP of Kern	14B-5012	$ 1,920,404.00	$ 142,450.34	$ 2,104,748.00	$ 113,970.97	$ 1,623,149.00	$ 385,922.00	$ 2,028,936.00	$ 284,679.00	$ 7,677,237.00	$ 927,022.31	12%	17%	-5%
Kings CAO	14B-5013	$ 260,320.00	$ 35,917.80	$ 294,980.00	$ 38,541.28	$ 330,037.00	$ 16,145.00	$ 110,012.00	$ 42,210.00	$ 995,349.00	$ 132,814.08	13%	7%	6%
North Coast Energy Svcs	14B-5014	$ 1,837,210.00	$ 599,103.58	$ 3,236,579.00	$ 352,015.62	$ 1,281,084.00	$ 455,993.00	$ 1,358,725.00	$ 516,481.00	$ 7,713,598.00	$ 1,923,593.20	25%	20%	5%
Lassen EDC	14B-5015	$ 139,032.00	$ 13,512.89	$ 434,093.00	$ 27,015.04	$ 14,688.00	$ 1,944.00	$ -	$ -	$ 587,813.00	$ 42,471.93	7%	8%	0%
CES	N/A									$ -	$ -	0%	0%	0%
Maravilla Foundation	14B-5017	$ 3,521,921.00	$ 461,230.98	$ 5,472,840.00	$ 708,778.87	$ 3,762,097.00	$ 604,014.00	$ 687,142.00	$ 39,332.00	$ 13,444,000.00	$ 1,813,355.85	13%	16%	-2%
PACE	14B-5018	$ 2,421,854.00	$ 355,646.07	$ 4,719,205.00	$ 298,129.62	$ 2,558,726.00	$ 241,837.00	$ 1,279,362.00	$ 39,809.00	$ 10,979,147.00	$ 935,421.69	9%	15%	-6%
Long Beach CSD	14B-5019	$ 2,217,543.00	$ 476,205.15	$ 1,623,730.00	$ 225,155.10	$ 2,423,146.00	$ 149,633.00	$ 2,423,147.00	$ 217,105.00	$ 8,687,566.00	$ 1,068,098.25	12%	16%	-4%
Madera CAC	14B-5020	$ 283,092.00	$ 74,452.00	$ 249,420.00	$ 45,628.23	$ 312,274.00	$ 75,999.00	$ 240,211.00	$ 50,214.00	$ 1,084,997.00	$ 246,293.23	23%	26%	-4%
CAM	14B-5021	$ 185,838.00	$ -	$ 208,170.00	$ 39,811.30	$ 102,097.00	$ 52,889.00	$ 247,389.00	$ 44,557.00	$ 743,494.00	$ 137,257.30	18%	35%	-16%
Mariposa County HSD	14B-5022	$ 135,136.00	$ 12,922.80	$ 279,578.00	$ 119,772.62	$ 49,950.00	$ 12,211.00	$ 45,422.00	$ 19,420.00	$ 510,086.00	$ 164,326.42	32%	37%	-5%
Merced County CAA	14B-5023	$ 528,221.00	$ 153,335.22	$ 567,822.00	$ 227,978.16	$ 167,422.00	$ 16,450.00	$ 837,110.00	$ 66,975.00	$ 2,100,575.00	$ 464,738.38	22%	25%	-3%
TEACH (ECIP and HEAP only)	14B-5024	$ -	$ -	$ 200,876.00	$ 21,448.69	$ 109,443.00	$ 13,793.00	$ 26,058.00	$ -	$ 336,377.00	$ 35,241.69	10%	35%	-24%
Project Go - Nevada County	14B-5026	$ 339,661.00	$ 51,564.06	$ 592,341.00	$ 68,369.67	$ 258,378.00	$ 24,106.00	$ 258,377.00	$ 16,061.00	$ 1,448,757.00	$ 160,100.73	11%	29%	-18%
CAP of Orange County	14B-5025	$ 1,405,301.00	$ 471,370.50	$ 2,312,661.00	$ 557,033.78	$ 1,187,778.00	$ 182,852.00	$ 1,187,777.00	$ 144,915.00	$ 6,093,517.00	$ 1,356,171.28	22%	11%	11%
Project Go, Inc.	14B-5044	$ 243,946.00	$ 40,515.82	$ 603,612.00	$ 63,369.16	$ 304,407.00	$ 60,038.00	$ 304,407.00	$ 47,611.00	$ 1,456,372.00	$ 211,533.98	15%	25%	-11%
Plumas County CDC	14B-5027	$ 146,837.00	$ 28,895.49	$ 370,965.00	$ 60,891.07	$ 24,298.00	$ 5,620.00	$ 12,149.00	$ 1,614.00	$ 554,249.00	$ 97,020.56	18%	17%	0%
CAP of Riverside County	14B-5028	$ 2,203,693.00	$ 51,365.16	$ 2,746,773.00	$ 145,468.70	$ 2,933,574.00	$ 264,212.00	$ 1,164,117.00	$ 119,879.00	$ 9,048,157.00	$ 580,924.86	6%	2%	4%
CRP, Inc.	14B-5029	$ 1,980,226.00	$ 462,531.00	$ 3,370,184.00	$ 528,241.64	$ 1,907,193.00	$ 498,202.00	$ 846,898.00	$ 232,734.00	$ 8,104,501.00	$ 1,721,708.64	21%	13%	8%
San Benito	14B-5030	$ -	$ -	$ 104,445.00	$ 21,520.00	$ 133,418.00	$ 566.00	$ 120,076.00	$ 2,211.00	$ 357,939.00	$ 24,297.00	7%	20%	-13%
CAP San Bernardino	14B-5031	$ 2,195,578.00	$ 423,808.59	$ 2,703,719.00	$ 219,324.65	$ 1,089,336.00	$ 34,555.00	$ 2,226,875.00	$ 340,591.00	$ 8,215,508.00	$ 1,018,279.24	12%	23%	-10%
MAAC	14B-5032	$ 545,208.00	$ 88,909.00	$ 783,979.00	$ 110,570.55	$ 638,538.00	$ 109,690.00	$ 348,294.00	$ 96,352.00	$ 2,316,019.00	$ 405,521.55	18%	23%	-6%
EOC of San Francisco	14B-5033	$ 643,538.00	$ 160,396.98	$ 563,090.00	$ 94,104.37	$ 1,040,703.00	$ 27,544.00	$ 96,065.00	$ 216,615.00	$ 2,343,396.00	$ 498,660.35	21%	9%	13%
San Joaquin County	14B-5034	$ 1,007,595.00	$ 20,716.37	$ 897,993.00	$ 72,387.68	$ 1,394,545.00	$ 66,612.00	$ 702,596.00	$ 43,886.00	$ 4,002,729.00	$ 203,602.05	5%	17%	-12%
CAP of San Luis Obispo	14B-5035	$ 274,141.00	$ 46,520.97	$ 479,521.00	$ 99,318.87	$ 185,366.00	$ 39,810.00	$ 43,445.00	$ 23,664.00	$ 982,473.00	$ 209,313.84	21%	19%	2%
CRP, Inc. San Mateo	N/A									$ -	$ -	0%	0%	0%
Santa Barbara County	14B-5036	$ 446,097.00	$ 56,723.93	$ 962,903.00	$ 142,008.52	$ 329,916.00	$ 35,769.00	$ 94,264.00	$ 15,548.00	$ 1,833,180.00	$ 250,049.45	14%	20%	-6%
Sacred Heart	14B-5037	$ 654,360.00	$ 303,126.29	$ 853,438.00	$ 88,212.34	$ 1,859,900.00	$ 797,888.00	$ 317,544.00	$ 43,538.00	$ 3,685,242.00	$ 1,232,764.63	33%	25%	8%
Central Coast Energy Svcs Inc.	14B-5038	$ 1,476,741.00	$ 89,372.07	$ 1,611,034.00	$ 392,693.90	$ 1,851,074.00	$ 282,153.00	$ 569,562.00	$ 226,962.00	$ 5,508,411.00	$ 991,180.97	18%	22%	-4%

June 2014

2014 LIHEAP Statewide Expenditures 1st Quarter 2014

Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	% Projected Expenditure	% Difference
SHHIP	14B-5039	$ 396,118.00	$ 106,377.00	$ 1,324,363.00	$ 213,783.65	$ 343,261.00	$ 80,867.00	$ 343,260.00	$ 163,414.00	$ 2,407,002.00	$ 564,441.65	23%	16%	7%
Great Northern Corp.	14B-5040	$ 327,210.00	$ 93,880.73	$ 548,940.00	$ 137,042.47	$ 311,133.00	$ 50,549.00	$ 138,282.00	$ 96,889.00	$ 1,325,565.00	$ 378,361.20	29%	24%	5%
CVOC	14B-5041	$ 876,134.00	$ 139,352.00	$ 845,627.00	$ 99,859.75	$ 1,295,909.00	$ 40,479.00	$ 477,635.00	$ 14,227.00	$ 3,495,305.00	$ 293,917.75	8%	17%	-9%
CSET	14B-5042	$ 1,213,155.00	$ 32,720.75	$ 1,450,160.00	$ 162,550.96	$ 1,896,938.00	$ 114,531.00	$ 281,978.00	$ 58,000.00	$ 4,842,231.00	$ 367,802.71	8%	7%	0%
Ventura County CHC	14B-5043	$ 732,865.00	$ 155,603.53	$ 946,628.00	$ 61,616.52	$ 325,199.00	$ 9,195.00	$ 929,136.00	$ 16,537.00	$ 2,933,828.00	$ 242,952.05	8%	15%	-7%
STATEWIDE EXPENDITURE TOTALS:		**$ 39,833,327**	**$ 6,437,442**	**$ 55,630,685**	**$ 6,671,831**	**$ 39,183,223**	**$ 5,311,188**	**$ 25,977,884**	**$ 3,817,996**	**$ 160,625,119**	**$ 22,238,457**	**14%**	**17%**	**-3%**
		Wx	**16%**	**EHA-16**	**12%**	**HE**	**14%**	**FT**	**15%**					

# of Agencies < Expenditure Goal	**30**
# of Agencies < Unit Goal	**28**

Category	Allocation	Expenditure
Wx - Direct Program Activity	$ 16,767,347.00	$ 4,320,281.67
EHA-16 EHCS & WPO	$ 18,008,385.00	$ 2,555,323.40
Utility Assistance	$ 65,161,107	$ 9,129,184
Prog. Services TOTAL 2014 LIHEAP	***$ 99,936,839.00***	***$ 16,004,789.07***
Total 2014 LIHEAP	**$ 160,625,119**	**$ 22,238,457**

Category	Allocation	Expenditure
Wx - DPA Vs. Statewide Total	10%	19%
EHA-16 EHCS & WPO Vs. Statewide Total	11%	11%
Utility Assistance Vs. Statewide Total	41%	41%

Average Cost Per Service	$ 489.19
Average Cost Per Service (Loaded)	$ 679.72
Difference (Cost to Administer)	$ 190.53

2014 LIHEAP Unit Production

1st Quarter 2014

Agency	Contract Number	Actual Wx Units	Projected Wx Units	Actual EHA-16 Units (EHCS & WPO)	Projected EHA-16 Units	Actual HEAP Units	Projected HEAP	Actual Fast Track Units	Projected Fast Track Units	Total Actual Units	Total Projected Units	Difference
Spectrum Community Svcs Inc.	14B-5001	77	93	44	94	415	518	232	345	768	1050	-282
Amador-Tuolumne CAA	14B-5002	15	4	64	57	42	77	16	22	137	160	-23
Butte County Inc. CAA	14B-5003	0	10	0	39	0	38	0	169	0	256	-256
Glenn County HRA	14B-5004	3	10	37	12	47	101	80	110	167	233	-66
Contra Costa County CSD	14B-5005	19	13	20	3	115	200	126	330	280	546	-266
El Dorado County DCS	14B-5007	18	12	38	0	18	133	0	0	74	145	-71
Fresno County EOC	14B-008	142	75	74	13	811	782	787	487	1814	1357	457
Redwood CAA-Del Norte	14B-5006	12	5	50	21	39	45	87	45	188	116	72
Redwood CAA-Humboldt	14B-5009	23	16	117	47	140	131	158	100	438	294	144
Campesinos Unidos, Inc	14B-5010	53	46	21	26	217	278	161	91	452	441	11
IMACA	14B-5011	0	0	0	0	0	1	0	1	0	2	-2
CAP of Kern	14B-5012	36	40	41	23	1252	1568	540	676	1869	2307	-438
Kings CAO	14B-5013	14	4	6	2	51	90	124	30	195	126	69
North Coast Energy Svcs	14B-5014	386	101	372	405	1584	819	888	537	3230	1862	1368
Lassen EDC	14B-5015	0	3	54	16	7	4	0	0	61	23	38
CES	N/A									0	0	0
Maravilla Foundation	14B-5017	228	270	302	230	1936	2315	72	135	2538	2950	-412
PACE	14B-5018	195	180	106	120	773	1200	75	300	1149	1800	-651
Long Beach CSD	14B-5019	148	116	1	1	477	1130	355	770	981	2017	-1036
Madera CAC	14B-5020	19	23	3	16	252	259	130	172	404	470	-66
CAM	14B-5021	0	10	51	31	201	160	107	247	359	448	-89
Mariposa County HSD	14B-5022	0	1	209	187	45	33	37	47	291	268	23
Merced County CAA	14B-5023	41	39	24	29	70	184	274	678	409	930	-521
TEACH (ECIP and HEAP only)	14B-5024	0	0	53	11	48	140	0	9	101	160	-59
Project Go - Nevada County	14B-5026	9	16	40	49	67	174	44	174	160	413	-253
CAP of Orange County	14B-5025	40	49	166	45	594	578	353	347	1153	1019	134
Project Go, Inc.	14B-5044	1	13	42	58	164	211	125	211	332	493	-161
Plumas County CDC	14B-5027	3	2	68	113	22	24	4	11	97	150	-53
CAP of Riverside County	14B-5028	11	0	15	12	724	161	286	334	1036	507	529
CRP, Inc.	14B-5029	131	29	69	32	1752	1601	797	714	2749	2376	373
San Benito	14B-5030	0	0	0	6	2	95	7	86	9	187	-178
CAP San Bernardino	14B-5031	160	32	1	101	113	652	787	835	1061	1620	-559

2014 LIHEAP Unit Production

1st Quarter 2014

Agency	Contract Number	Actual Wx Units	Projected Wx Units	Actual EHA-16 Units (EHCS & WPO)	Projected EHA-16 Units	Actual HEAP Units	Projected HEAP	Actual Fast Track Units	Projected Fast Track Units	Total Actual Units	Total Projected Units	Difference
MAAC	14B-5032	22	32	14	21	424	501	376	316	836	870	-34
EOC of San Francisco	14B-5033	27	25	0	4	108	108	183	183	318	320	-2
San Joaquin County	14B-5034	0	8	18	9	222	932	106	423	346	1372	-1026
CAP of San Luis Obispo	14B-5035	5	12	31	34	159	154	79	180	274	380	-106
CRP, Inc. San Mateo	N/A									0	0	0
Santa Barbara County	14B-5036	82	20	26	20	138	20	44	20	290	80	210
Sacred Heart	14B-5037	299	129	9	15	3165	1860	92	178	3565	2182	1383
Central Coast Energy Svcs Inc.	14B-5038	24	88	85	70	1108	1177	865	874	2082	2209	-127
SHHIP	14B-5039	49	36	186	141	235	160	230	70	700	407	293
Great Northern Corp.	14B-5040	18	8	237	97	141	114	142	71	538	290	248
CVOC	14B-5041	59	60	4	16	104	516	35	173	202	765	-563
CSET	14B-5045	9	2	24	2	339	788	75	56	447	848	-401
Ventura County CHC	14B-5043	49	49	14	18	144	144	410	410	617	621	-4
STATEWIDE UNIT PRODUCTION TOTALS:		**2427**	**1681**	**2736**	**2246**	**18265**	**20176**	**9289**	**10967**	**32717**	**35070**	**-2353**

POLICY/PROGRAM AREA	DESCRIPTION	ACTION ITEM	LOCAL SYSTEM CONSIDERATIONS
Vehicles – Usage Fee	Agencies that purchase using federal funds and use for other federal or non-federal programs must charge the benefiting program a usage fee.	CSD has developed a CPN to offer guidance. CPN was shared with LWG on 5/2. Comments are being obtained from the network and will be shared at the June LWG meeting.	No.
Agency Local Plans	Agencies will develop a comprehensive Agency Local Plan to provide information on agency profile, missions and goals, service delivery and prioritization, and customer management. The goal of plan is to assist with the annual LIHEAP State Plan, streamline the annual contract, enable CSD to be responsive to inquiries from the legislature and the public, and to provide peer-to-peer best practices.	CSD has developed a draft that was shared with the LWG on 5/2 for feedback. Comments are being obtained from the network. Comments are being obtained from the network and will be shared at the June LWG meeting.	Normal program startup associated with Priority Plan.
Categorical Eligibility	CSD is considering whether this would be advantageous for the network to use. Would simplify the enrollment process.	CSD developed a comparison chart for various types of public assistance programs which was shared with the LWG on 5/2. LWG recommended that CSD continue with existing eligibility requirements. The group found that eligibility requirements varied between programs either it was based on individual or household. The LIHEAP applicant would still have to provide the income documentation to determine energy burden and for prioritization purposes.	N/A
Contract Reform	CSD is streamlining the contract to make it easier to locate information and reduce the administrative burden by incorporating a	CSD shared the table of contents with the LWG on 5/2 for review and comment.	Normal program startup associated with Budgets and measure matrix.

	majority of the contract documents, policies, standards etc. by reference and making them available online.	CSD is working internally to reorganize the contract, clarify existing language and incorporate new changes.	
County Allocations – System Tracking	CSD proposed changes in EARS in 2014, which were delayed to the 2015 program.	LWG will reassess the proposed system changes and provide feedback.	Yes. New component may be added for agencies to report how they expended direct program activities by county.
Contract Amendments	CSD is evaluating streamlining the process when transferring funds between non-consideration and consideration to eliminate the need for a contract amendment.	CSD is conducting internal meetings and when a proposed process is developed it will be shared with LWG and network.	Yes. Details are being worked out.
Start-up Package/Eligibility Guide	CSD is revising the Eligibility Guide to correct inconsistencies and clarify requirements.	CSD is currently revising the document and will provide a draft at the LWG in July.	Unknown
Life-Threatening	HHS is requiring states to define life-threatening.	Discussion will be held with LWG in June.	Unknown
Client Fraud Policies	HHS is requiring states to have policies around how client fraud issues are handled.	Discussion will be held with LWG in June.	Unknown
Tribal lands – SHPO	Providers are seeking guidance on whether the historic preservation requirements are applicable to tribal lands. DOE has never resolved this issue.	CSD legal staff is researching requirements and plan to provide feedback at LWG in July.	Use existing HPO system.
LIHEAP Weatherization Model	CSD is evaluating a priority list concept for LIHEAP weatherization	CSD will table this discussion due to competing priorities with Cap and Trade Program.	On hold.

Manage your money week

October 18-25, 2014

What is Manage Your Money Week?

Manage Your Money Week is a project of the State Controller's Financial Literacy Advisory Committee designed to:

1. Promote the importance of building the capacity of all Californians to make good financial decisions to achieve their goals;
2. Connect consumers to money management resources in their communities;
3. Build relationships between organizations that provide money management resources and education with other organizations whose constituents need the support;
4. Provide a framework for state, regional and local financial education groups to work in collaboration to highlight their programs and services.

During Manage Your Money Week, state and local government agencies, non-profit organizations, unions, schools, libraries, financial institutions, and financial management associations will be working together in communities throughout California to host free money management education events and promote the importance of good money management skills. Programs will be offered to all demographics in multiple languages and cover all facets of personal finance from opening a checking account and managing a budget, to credit counseling, first-time home buying, planning for retirement, avoiding financial scams, and starting a business.

How Did It Get Started?

The State Controller's Financial Literacy Advisory Committee, established by state law, is charged with developing strategies to improve financial literacy. The Committee is composed of leaders in financial education and asset building in the private and non-profit sector. (See http://www.sco.ca.gov/eo_flac.html for list of Committee members.)

At its first meeting in October 2013, the Committee recognized that while there were many organizations in the private, non-profit and public sectors that provide financial education services and resources, consumers who would benefit greatly from these services were unaware that these resources are available. The Committee decided that its first project would be to raise public awareness about the financial education organizations and resources available in their communities. The project is modeled after the Chicago Federal Reserve's Money Smart Week held in 13 states.

What is a Manage Your Money Week Partner?

A Manage Your Money Week (MYMW) partner is an organization that does one or more of the following:

- Provides free educational materials, instructors, or seminars for consumers, with information and materials tailored to the population being served.
- Hosts, holds or facilitates a free money management educational event in appropriate languages for the communities being served.
- As a community service provider, invites their constituents to participate in events and provides appropriate language support services.
- Provides resources to support partner activities and promotes MYMW events at the local, regional, or state level.

Targeted partners include public, private, and non-profit organizations and associations that provide money management educational services, promote the importance of educating Californians about managing their money, and serve constituencies that need personal finance education and services. Partners are expected to abide by the Manage Your Money Week Partner Guidelines (see Page 3).

State and Regional Partners:

- Encourage and support their local chapter's or memberships' participation in Manage Your Money Week and serve as the liaison between participating local chapters and the state effort.
- Assist in the promotion of Manage Your Money Week.
- Identify other organizations that should participate.
- If the organization/agency provides free money management educational resources, make those resources available to local Manage Your Money Week partners for their Manage Your Money Week event(s).

Local and Community Partners:

- If there are multiple partners in a community, those partners are strongly encouraged to work together to develop and promote free money management education activities during the week. For example, organizations in Sacramento could work together under the name "Manage Your Money Week Sacramento."

What is a Manage Your Money Week Hub Leader?

One of the key goals of MYMW is to build connections in communities between providers of personal financial education and support services, and organizations serving constituents that need those services. If there are multiple MYMW partners in a community, we want to encourage them to work together to develop and promote free money management education activities during the week; collaborations would be called *Manage Your Money Week "community name."* The role of the Hub Leader can be as simple as facilitating a few meetings of the participating groups, to leading a collaborative effort of the local MYMW partners to organize a more coordinated set of activities during the week, and working together to solicit more partners and promote the week in the community. As Hub Leaders are identified, MYMW partners will be directed to contact that leader in their community. Hub Leaders will also be posted on the MYMW website. If you are interested in being a Hub Leader, please note that in your partner application form below.

What are the Benefits of Being a Partner?

Manage Your Money Week Partners will:

- Have the opportunity to showcase their services and the resources they provide in their community and statewide through the MYMW website.
- Increase their knowledge and awareness of personal finance education efforts throughout the State.
- Strengthen relationships with other financial education organizations and organizations needing the services in their community.
- Increase awareness of personal finance education resources available for consumers.
- Connect their clients to appropriate personal financial education resources in their communities.
- Strengthen local collaborative efforts through networking with other Manage Your Money Week participants.

Manage Your Money Week Partner Guidelines

Manage Your Money Week has state, regional and local partners. All organizations wishing to participate and be listed as a Manage Your Money Week partner, or Hub Leader, must submit an application to the MYMW state coordinators (MYMW@sco.ca.gov). See page 4, How Do I Apply to Become a Partner?

All Manage Your Money Week partners are expected to adhere to the following guidelines:

1. All workshops, seminars and activities must be educational in nature and relate to improving money management skills, protecting consumers from financial scams, helping consumers meet financial goals such as saving for college, buying a house, preparing for retirement or starting a business, and informing consumers about programs that can help them achieve financial security. Sales pitches of any specific product or service are strictly prohibited.

2. Workshops, seminars and activities should be free, open to the public and tailored to the population being served, i.e. in appropriate languages and educational levels. However, events can be included that are not open to the general public, but are for specific audiences such as students, employees, and professional groups.

3. Appoint a representative to the Manage Your Money Week local/regional collaborative, if a collaborative exists, if not, consider starting one, and attend planning meetings scheduled in your area leading up to the event. Meetings are encouraged to facilitate networking and planning among partners.

4. Implement, as able, additional marketing or promotional strategies for your event/s to secure attendance numbers. Promotional packages will be provided to partners to help with media efforts.

5. Service providers should encourage clients and constituents to participate in the events in their community.

6. Promote Manage Your Money Week in the community and recruit additional partners and sponsors.

7. Inform Manage Your Money Week state coordinators of media efforts.

8. After the Manage Your Money Week event, complete and return the evaluation package, including the attendance numbers for all events, participant surveys, photos, media clips, and samples of any other promotional materials used during the events to MYMW@sco.ca.gov.

How Do I Apply To Become A Partner?

To become a partner, simply complete the application on Page 5 and email to: MYMW@sco.ca.gov. All applications will be reviewed and approved before an organization may participate as a Manage Your Money Week partner. You will be notified whether or not you have been approved within 10 business days of receipt of application.

Manage Your Money Week (MYMW) Application

Thank you for applying to participate in Manage Your Money Week. **Participation is subject to MYMW Steering Committee approval. You will be notified whether or not you have been approved within 10 business days of the receipt of this application.**

If you have any questions, please contact MYMW@sco.ca.gov.

Organization:			
Website:		**Email:**	
Contact:		**Phone:**	

Please give a brief description of your organization:

For those interested in holding an event, you and your organization acknowledge the following conditions:

» Workshops, seminars and activities will be **free** and **open** to the public and tailored to the population being served, i.e. in appropriate languages and educational levels. However, events can be included that are not open to the general public, but are for specific audiences such as students, employees, and professional groups.

» All workshops, seminars and activities must be educational in nature and relate to improving money management skills, helping consumers meet their financial goals, and increasing understanding of financial products and services.

» You are prohibited from selling any goods, products or services, offered by you or the organization you are representing. This provision exists even if you possess a seller's permit issued by the California Board of Equalization. Unauthorized items are subject to removal from the event at any time.

a) Please give a brief description of the focus of your proposed MYMW event/activity, your target audience, and provide a link, if available, where people can find out more:

b) City where proposed event will be held:

For those participating in other ways, please describe (e.g. providing materials, promoting Manage Your Money Week, coordinating partners, recruiting participants, etc.):

Please indicate if your organization would be interested in serving as a Hub Leader:	YES		NO	

» Please note: Participation in Manage Your Money Week is not an endorsement of your organization's products or services by the MYMW Steering Committee or the State Controller's Office. The MYMW Steering Committee and the State Controller's Office do not endorse services or products.

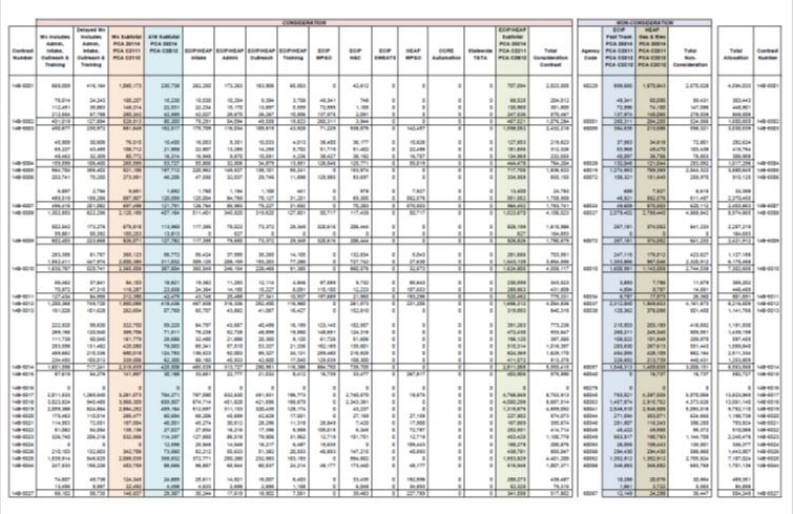
Signature:		**Date:**	
Name/Title:			

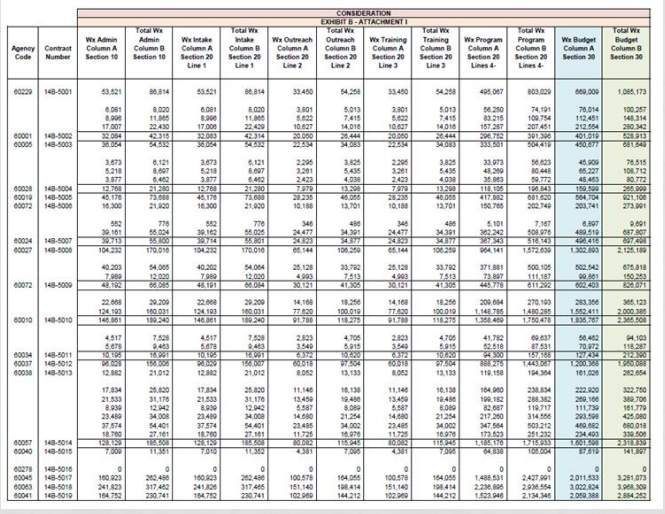
REVISIONS TO THE ALLOCATION PROCESS

JUNE 11, 2014

LIHEAP SERVICE PROVIDERS COMMITTEE MEETING

CURRENT ALLOCATION SPREADSHEETS



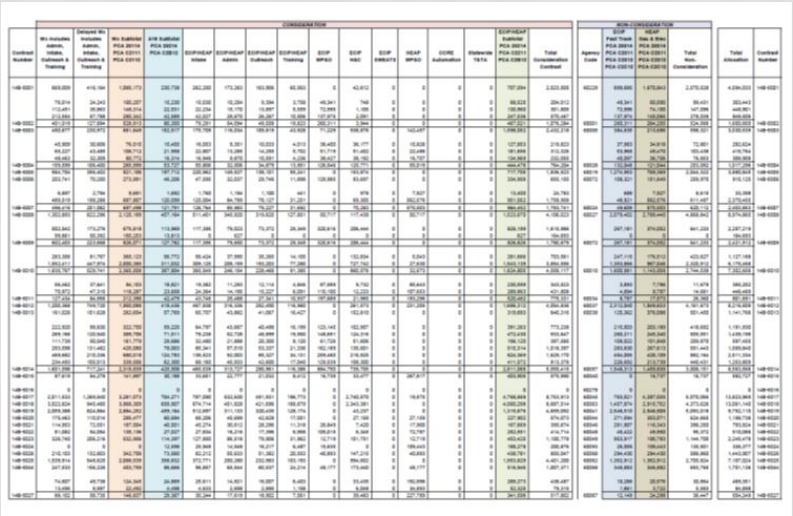


		CONSIDERATION EXHIBIT B - ATTACHMENT I										
Agency Code	Contract Number	Wx Admin Column A Section 10	Total Wx Admin Column B Section 10	Wx Intake Column A Section 20 Line 1	Total Wx Intake Column B Section 20 Line 1	Wx Outreach Column A Section 20 Line 2	Total Wx Outreach Column B Section 20 Line 2	Wx Training Column A Section 20 Line 3	Total Wx Training Column B Section 20 Line 3	Wx Program Column A Section 20 Lines 4-	Total Wx Program Column B Section 20 Lines 4-	Wx Budget Column A Section 30	Total Wx Budget Column B Section 30
60229	14B-5001	53,521	86,814	53,521	86,814	33,450	54,258	33,450	54,258	495,067	803,029	669,009	1,085,173
		6,081	8,020	6,081	8,020	3,801	5,013	3,801	5,013	56,250	74,191	78,014	100,257
		8,998	11,865	8,998	11,865	5,622	7,415	5,622	7,415	83,215	109,754	112,451	148,314
		17,007	22,430	17,006	22,429	10,627	14,016	10,627	14,016	157,287	207,451	212,554	280,342
60001	14B-5002	32,084	42,315	32,083	42,314	20,050	26,444	20,050	26,444	296,752	391,396	401,019	528,913
60005	14B-5003	36,054	54,532	36,054	54,532	22,534	34,083	22,534	34,083	333,501	504,419	450,677	681,549
		3,673	6,121	3,673	6,121	2,295	3,825	2,295	3,825	33,973	56,623	45,909	76,515
		5,218	8,697	5,218	8,697	3,261	5,435	3,261	5,435	48,269	80,448	65,227	108,712
		3,877	6,462	3,877	6,462	2,423	4,038	2,423	4,038	35,863	59,772	48,463	80,772
60028	14B-5004	12,768	21,280	12,768	21,280	7,979	13,298	7,979	13,298	118,105	196,843	159,599	265,999
60019	14B-5005	45,178	73,688	45,178	73,688	28,236	46,055	28,236	46,055	417,882	681,620	564,704	921,106
60072	14B-5006	16,300	21,920	16,300	21,920	10,188	13,701	10,188	13,701	150,765	202,749	203,741	273,991
		552	776	552	776	346	486	346	486	5,101	7,167	6,897	9,691
		39,161	55,024	39,162	55,025	24,477	34,391	24,477	34,391	362,242	508,976	489,519	687,807
		39,713	55,800	39,714	55,801	24,823	34,877	24,823	34,877	367,343	516,143	496,416	697,498
60024	14B-5007	104,232	170,016	104,232	170,016	65,144	106,259	65,144	106,259	964,141	1,572,639	1,302,893	2,125,189
60027	14B-5008	40,203	54,065	40,202	54,064	25,128	33,792	25,128	33,792	371,881	500,105	502,542	675,818
		7,989	12,020	7,989	12,020	4,993	7,513	4,993	7,513	73,897	111,187	99,861	150,263
60072	14B-5009	48,192	66,085	48,191	66,084	30,121	41,305	30,121	41,305	445,778	611,292	602,403	826,071
		22,668	29,209	22,668	29,209	14,168	18,256	14,168	18,256	209,684	270,193	283,356	365,123
		124,193	160,031	124,193	160,031	77,620	100,019	77,620	100,019	1,148,786	1,480,285	1,552,411	2,000,385
60010	14B-5010	146,861	189,240	146,861	189,240	91,788	118,275	91,788	118,275	1,358,469	1,750,476	1,835,767	2,365,508
		4,517	7,528	4,517	7,528	2,823	4,705	2,823	4,705	41,782	69,637	56,462	94,103
		5,678	9,463	5,678	9,463	3,549	5,915	3,549	5,915	52,518	87,531	70,972	118,287
60034	14B-5011	10,195	16,991	10,195	16,991	6,372	10,620	6,372	10,620	94,300	157,168	127,434	212,390
60037	14B-5012	96,028	156,006	96,029	156,007	60,018	97,504	60,018	97,504	888,275	1,443,067	1,200,368	1,950,088
60038	14B-5013	12,882	21,012	12,882	21,012	8,052	13,133	8,052	13,133	119,159	194,364	161,026	262,654
		17,834	25,820	17,834	25,820	11,146	16,138	11,146	16,138	164,960	238,834	222,920	322,750
		21,533	31,176	21,533	31,176	13,459	19,485	13,459	19,485	199,182	288,382	269,166	389,706
		9,939	12,942	9,939	12,942	5,587	8,089	5,587	8,089	82,687	119,717	111,739	161,779
		23,489	34,008	23,489	34,008	14,680	21,254	14,680	21,254	217,260	314,556	293,598	425,080
		37,574	54,401	37,574	54,401	23,485	34,002	23,485	34,002	347,564	503,212	469,852	680,018
		18,760	27,161	18,760	27,161	11,725	16,976	11,725	16,976	173,523	251,252	234,403	339,506
60057	14B-5014	128,129	185,508	128,129	185,508	80,082	115,945	80,082	115,945	1,185,176	1,715,933	1,601,596	2,318,839
60040	14B-5015	7,009	11,351	7,010	11,352	4,381	7,095	4,381	7,095	64,838	105,004	87,516	141,697
60278	14B-5016	0	0	0	0	0	0	0	0	0	0	0	0
60045	14B-5017	160,923	262,486	160,923	262,486	100,578	164,055	100,578	164,055	1,488,531	2,427,991	2,011,533	3,281,073
60063	14B-5018	241,823	317,462	241,826	317,465	151,140	198,414	151,140	198,414	2,236,995	2,936,554	3,022,824	3,968,309
60041	14B-5019	164,752	230,741	164,752	230,741	102,969	144,212	102,969	144,212	1,523,946	2,134,346	2,059,388	2,884,252

Currently there are two allocation spreadsheets with the contracts:

1. **Facesheet Spreadsheet** *(2 pages of 11x17 paper)*
2. **Exhibits Spreadsheet** *(4 pages of 11x17 paper)*

REVISIONS TO ALLOCATION SPREADSHEETS



There will only be one allocation spreadsheet with the contracts:

1. **A Condensed Facesheet Spreadsheet** *(2 pages of 11x17 paper)*

FACESHEET SPREADSHEET COMPARISON

CURRENT

	CONSIDERATION																NON-CONSIDERATION				
Contract Number	Wx Includes Admin, Intake, Outreach & Training	Delayed Wx Includes Admin, Intake, Outreach & Training	Wx Subtotal PCA 20113 PCA 20111 PCA L2112 PCA C2110	A16 Subtotal PCA 20213 PCA 20211	ECIP/HEAP Intake	ECIP/HEAP Admin	ECIP/HEAP Outreach	ECIP/HEAP Training	ECIP WP&O	ECIP H&C	ECIP SWEATS	HEAP WP&O	CORE Automation	Statewide T&TA	ECIP/HEAP Subtotal PCA 20213 PCA 20211 PCA L2212 PCA C2210 PCA C2211	Total Consideration Contract	Agency Code	ECIP Fast Track PCA 20313 PCA 20311 PCA L2312 PCA C2310 PCA C2311	HEAP Gas & Elec PCA 20313 PCA 20311 PCA L2312 PCA C2310 PCA C2311	Total Non-Consideration	Total Allocation
13B-5001	898,916	474,998	1,373,914	237,499	254,833	150,618	159,271	63,709	0	950,000	0	0	26,200	0	1,604,631	3,216,044	60229	672,275	934,706	1,606,981	4,823,025
	47,822	27,967	75,789	13,983	14,951	8,828	9,345	3,738	47,260	0	0	0	5,563	0	89,685	179,457		29,508	73,260	102,768	282,225
	69,391	39,477	108,868	19,739	21,289	12,602	13,305	5,322	71,552	0	0	0	9,639	0	133,709	262,316		70,485	71,552	142,037	404,353
	88,639	52,197	140,836	26,098	27,844	16,429	17,403	6,961	96,205	0	22,400	0	9,798	0	197,040	363,974		92,209	68,605	160,814	524,788
13B-5002	205,852	119,641	325,493	59,820	64,084	37,859	40,053	16,021	215,017	0	22,400	0	25,000	0	420,434	805,747	60001	192,202	213,417	405,619	1,211,366

The current Facesheet spreadsheet:

- **Has 22 columns of information,**
- **Administration funds in two areas *(WX & ECIP/HEAP/A16)*, and**
- **Excludes Utility Assistance *(Non-Consideration)* from the contract total.**

FACESHEET SPREADSHEET COMPARISON

REVISED

Contract Number	Agency Code	Initial Wx Program *(Intake, Outreach, Training, etc.)*	Delayed Wx Program *(Intake, Outreach, Training, etc.)*	Wx Program Subtotal PCA	Allowable Admin *(Wx/A16/ ECIP/HEAP)*	Allowable A16 Program	ECIP/HEAP Direct Program (Intake, Outreach, *Training, WPO, H&C, SWEATS, etc.)*	Admin/A16/ ECIP/HEAP Direct Program Subtotal PCA	ECIP/HEAP Utility Assistance *(FT & HEAP)* Subtotal PCA	Total Contract Allocation
13B-5001	60229	898,916	474,998	1,373,914	255,231	237,499	1,454,013	1,946,743	1,502,368	4,823,025
		47,822	27,967	75,789	14,740	13,983	80,857	109,580	96,856	282,225
		69,391	39,477	108,868	21,050	19,739	121,107	161,896	133,589	404,353
		88,639	52,197	140,836	27,432	26,098	180,611	234,141	149,811	524,788
13B-5002	60001	205,852	119,641	325,493	63,222	59,820	382,575	505,617	380,256	1,211,366

The revised Facesheet spreadsheet:

- **Has 11 columns of information,**
- **Administration funds in a single place *(line item)*, and**
- **Includes Utility Assistance *(Non-Consideration)* in the contract total.**

FACESHEET SPREADSHEET COMPARISON

CURRENT

	CONSIDERATION																NON-CONSIDERATION				
Contract Number	Wx Includes Admin, Intake, Outreach & Training	Delayed Wx Includes Admin, Intake, Outreach & Training	Wx Subtotal PCA 20113 PCA 20111 PCA L2112 PCA C2110	A16 Subtotal PCA 20213 PCA 20211	ECIP/HEAP Intake	ECIP/HEAP Admin	ECIP/HEAP Outreach	ECIP/HEAP Training	ECIP WP&O	ECIP H&C	ECIP SWEATS	HEAP WP&O	CORE Automation	Statewide T&TA	ECIP/HEAP Subtotal PCA 20213 PCA 20211 PCA L2212 PCA C2210 PCA C2211	Total Consideration Contract	Agency Code	ECIP Fast Track PCA 20313 PCA 20311 PCA L2312 PCA C2310 PCA C2311	HEAP Gas & Elec PCA 20313 PCA 20311 PCA L2312 PCA C2310 PCA C2311	Total Non-Consideration	Total Allocation
13B-5001	898,916	474,998	1,373,914	237,499	254,833	150,618	159,271	63,709	0	950,000	0	0	26,200	0	1,604,631	3,216,044	60229	672,275	934,706	1,606,981	4,823,025
	47,822	27,967	75,789	13,983	14,951	8,828	9,345	3,738	47,260	0	0	0	5,563	0	89,685	179,457		29,508	73,260	102,768	282,225
	69,391	39,477	108,868	19,739	21,289	12,602	13,305	5,322	71,552	0	0	0	9,639	0	133,709	262,316		70,485	71,552	142,037	404,353
	88,639	52,197	140,836	26,098	27,844	16,429	17,403	6,961	96,205	0	22,400	0	9,798	0	197,040	363,974		92,209	68,605	160,814	524,788
13B-5002	205,852	119,641	325,493	59,820	64,084	37,859	40,053	16,021	215,017	0	22,400	0	25,000	0	420,434	805,747	60001	192,202	213,417	405,619	1,211,366

REVISED

Contract Number	Agency Code	Initial Wx Program *(Intake, Outreach, Training, etc.)*	Delayed Wx Program *(Intake, Outreach, Training, etc.)*	Wx Program Subtotal PCA	Allowable Admin *(Wx/A16/ ECIP/HEAP)*	Allowable A16 Program	ECIP/HEAP Direct Program (Intake, Outreach, *Training, WPO, H&C, SWEATS, etc.)*	Admin/A16/ ECIP/HEAP Direct Program Subtotal PCA	ECIP/HEAP Utility Assistance *(FT & HEAP)* Subtotal PCA	Total Contract Allocation
13B-5001	60229	898,916	474,998	1,373,914	255,231	237,499	1,454,013	1,946,743	1,502,368	4,823,025
		47,822	27,967	75,789	14,740	13,983	80,857	109,580	96,856	282,225
		69,391	39,477	108,868	21,050	19,739	121,107	161,896	133,589	404,353
		88,639	52,197	140,836	27,432	26,098	180,611	234,141	149,811	524,788
13B-5002	60001	205,852	119,641	325,493	63,222	59,820	382,575	505,617	380,256	1,211,366

CURRENT BUDGET FORMS

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 557D (Rev. 12/09/2013)

EXHIBIT B - ATTACHMENT I
2014 LIHEAP WEATHERIZATION BUDGET

Contractor:	Contract Number: 14B-	Telephone Number:
Class "B" Contractor's License No.:	Name on License:	Expiration Date:
Prepared By:	E-mail Address:	Fax Number:

		COLUMN A	COLUMN B
10 - ADMINISTRATIVE BUDGET			
1	Administrative Costs	$	$
2	Administrative Equipment (More than $5,000)		
Total Administrative Budget (Total of Lines 1 - 2)		$ -	$ -
20 - WEATHERIZATION PROGRAM BUDGET			
1	Intake	$	$
2	Outreach		
3	Training and Technical Assistance		
4	Direct Program Activities		
5	Liability Insurance		
6	Major Vehicle and Equipment (More than $5,000)		
7	Minor Vehicle and Equipment (Less than $5,000)		
8	Workers' Compensation		
9	General Operating Expenditures		
10	Training and Technical Assistance - Solar Hot Water Heating		
Total Program Costs (Total of lines 1 - 10)		$ -	$ -
30 - TOTAL BUDGET (Total of Section 10 and 20)		$ -	$ -

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 537E (Rev. 2/13/14)

EXHIBIT B - ATTACHMENT II
2014 LIHEAP EHA-16 PROGRAM BUDGET

Contractor:	Contract Number: 14B-	Telephone Number:
Prepared By: Name and Title (Please Print):	E-mail Address:	Fax Number:

10 - ASSURANCE 16 BUDGET		
1	Assurance 16 Activities (5% of total allocation)	$
20 - ADMINISTRATIVE BUDGET		
1	Administrative Costs (5% of total allocation)	$
2	Administrative Equipment (More Than $5,000)	
	TOTAL ECIP/HEAP Administrative Budget (Total of Lines 1 - 2)	$ -
30 - INTAKE BUDGET		
1	Intake (8% of total allocation)	$
40 - OUTREACH BUDGET (ECIP AND HEAP)		
1	Outreach (5% of ECIP/HEAP)	$
50 - TRAINING AND TECHNICAL ASSISTANCE		
1	Training and Technical Assistance (2% of ECIP/HEAP)	$
60 - ECIP/HEAP PROGRAM BUDGET		
1	ECIP EHCS Diagnostics	$
2	ECIP EHCS Cooling Service Repair/Replacement	
3	ECIP EHCS Heating Service Repair/Replacement	
4	ECIP EHCS Water Heater Repair/Replacement	
5	ECIP EHCS Other Program Costs	
	ECIP EHCS Subtotal (Lines 1-5)	$
6	ECIP Wood, Propane, and Oil	
7	Severe Weather Energy Assistance and Transportation Services (SWEATS) (activated by CSD)	
8	HEAP Wood, Propane, and Oil	
9	Liability Insurance	
10	Major Vehicle and Equipment (More than $5,000)	
11	Minor Vehicle and Equipment (Less than $5,000)	
12	Workers' Compensation	
13	General Operating Expenditures	
14	Automation Supplemental	
	TOTAL ECIP/HEAP Program Budget (Total of Lines 1 - 14)	$ -
	70 - TOTAL BUDGET (Total of Sections 10, 20, 30, 40, 50, and 60)	$ -

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 516 (Rev 12/09/2013)

EXHIBIT B - ATTACHMENT III
2014 LIHEAP NONCONSIDERATION ALLOCATIONS

Local Service Provider Name	Contract Number: 14B-
Prepared By: NAME AND TITLE (please print)	

Email Address:	Phone Number:	Fax Number:

NONCONSIDERATION ECIP FAST TRACK BUDGET		
	Enter the name of each county in your service territory on a separate line	Enter the dollar amount to be allocated to the county
1		$
2		
3		
4		
5		
6		
7		
8	**TOTAL**	$

NONCONSIDERATION HEAP BUDGET		
	Enter the name of each county in your service territory on a separate line	Enter the dollar amount to be allocated to the county
1		$
2		
3		
4		
5		
6		
7		
8	**TOTAL**	$

TOTAL NONCONSIDERATION ECIP AND HEAP BUDGET		
	Enter the name of each county in your service territory on a separate line	Enter the total dollar amount to be allocated to the county
1		$
2		
3		
4		
5		
6		
7		
8	**TOTAL**	$

The total amount allocated to the Nonconsideration program must be entered by Contractor and is not made part of the total consideration for this Agreement but shall be for Contractor's use as described in EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, and EXHIBIT F, PROGRAMMATIC PROVISIONS.

The total Nonconsideration Budget must match the total Nonconsideration allocation on the CSD 622 LIHEAP Expenditure and Performance Benchmarks.

Currently there are three budget forms with the contracts:

1. **Weatherization Budget (CSD 557D)**
2. **ECIP/HEAP/A16 Budget (CSD 537E)**
3. **Utility Assistance *(Non-Consideration)* Budget (CSD 516)**

REVISION TO BUDGET FORMS

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 557D (Rev. 12/09/2013)

EXHIBIT B - ATTACHMENT I
2014 LIHEAP WEATHERIZATION BUDGET

Contractor:	Contract Number: 14B-	Telephone Number:
Class "B" Contractor's License No.:	Name on License:	Expiration Date:
Prepared By:	E-mail Address:	Fax Number:

		COLUMN A	COLUMN B
10 - ADMINISTRATIVE BUDGET			
1	Administrative Costs	$	$
2	Administrative Equipment (More than $5,000)		
Total Administrative Budget (Total of Lines 1 - 2)		$ -	$ -
20 - WEATHERIZATION PROGRAM BUDGET			
1	Intake	$	$
2	Outreach		
3	Training and Technical Assistance		
4	Direct Program Activities		
5	Liability Insurance		
6	Major Vehicle and Equipment (More than $5,000)		
7	Minor Vehicle and Equipment (Less than $5,000)		
8	Workers' Compensation		
9	General Operating Expenditures		
10	Training and Technical Assistance - Solar Hot Water Heating		
Total Program Costs (Total of lines 1 - 10)		$ -	$ -
30 - TOTAL BUDGET (Total of Section 10 and 20)		$ -	$ -

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 537E (Rev. 2/13/14)

EXHIBIT B - ATTACHMENT II
2014 LIHEAP EHA-16 PROGRAM BUDGET

Contractor:	Contract Number: 14B-	Telephone Number:
Prepared By: Name and Title (Please Print):	E-mail Address:	Fax Number:

10 - ASSURANCE 16 BUDGET		
1	Assurance 16 Activities (5% of total allocation)	$
20 - ADMINISTRATIVE BUDGET		
1	Administrative Costs (5% of total allocation)	$
2	Administrative Equipment (More Than $5,000)	
	TOTAL ECIP/HEAP Administrative Budget (Total of Lines 1 - 2)	$ -
30 - INTAKE BUDGET		
1	Intake (8% of total allocation)	$
40 - OUTREACH BUDGET (ECIP AND HEAP)		
1	Outreach (5% of ECIP/HEAP)	$
50 - TRAINING AND TECHNICAL ASSISTANCE		
1	Training and Technical Assistance (2% of ECIP/HEAP)	$
60 - ECIP/HEAP PROGRAM BUDGET		
1	ECIP EHCS Diagnostics	$
2	ECIP EHCS Cooling Service Repair/Replacement	
3	ECIP EHCS Heating Service Repair/Replacement	
4	ECIP EHCS Water Heater Repair/Replacement	
5	ECIP EHCS Other Program Costs	
	ECIP EHCS Subtotal (Lines 1-5)	$
6	ECIP Wood, Propane, and Oil	
7	Severe Weather Energy Assistance and Transportation Services (SWEATS) (activated by CSD)	
8	HEAP Wood, Propane, and Oil	
9	Liability Insurance	
10	Major Vehicle and Equipment (More than $5,000)	
11	Minor Vehicle and Equipment (Less than $5,000)	
12	Workers' Compensation	
13	General Operating Expenditures	
14	Automation Supplemental	
	TOTAL ECIP/HEAP Program Budget (Total of Lines 1 - 14)	$ -
	70 - TOTAL BUDGET (Total of Sections 10, 20, 30, 40, 50, and 60)	$ -

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 516 (Rev 12/09/2013)

EXHIBIT B - ATTACHMENT III
2014 LIHEAP NONCONSIDERATION ALLOCATIONS

Local Service Provider Name	Contract Number: 14B-
Prepared By: Name and Title (please print):	
E-mail Address:	Phone Number: / Fax Number:

TRACK BUDGET		
	Service territory on a separate line	
1		
2		
3		
4		
5		
6		
7		
8	**TOTAL**	

NONCONSIDERATION HEAD		
	Enter the name of each county or	Enter the dollar amount to be allocated to the county
1		$
2		
3		
4		
5		
6		
7		
8	**TOTAL**	$

TOTAL BUDGET		
	territory on a separate line	
1		
2		
3		
4		
5		
6		
7		
8	**TOTAL**	$

The total amount allocated to the Nonconsideration program must be entered by Contractor and is not made part of the total consideration for this Agreement but shall be for Contractor's use as described in EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, and EXHIBIT F, PROGRAMMATIC PROVISIONS.

The total Nonconsideration Budget must match the total Nonconsideration allocation on the CSD 622 LIHEAP Expenditure and Performance Benchmarks.

There will only be two budget forms with the contracts:

1. **Revised Weatherization Budget (CSD 557D)**
2. **Revised ECIP/HEAP/A16 Budget (CSD 537E)**

REVISED BUDGET FORMS

EXAMPLE WEATHERIZATION BUDGET FORM (CSD 557D)

Red areas are new

Contractor:		Contract Number: 15B-	Telephone Number:
Class "B" Contractor's License No.:	Name on License:		Expiration Date:
Prepared By:	E-mail Address:		Fax Number:

				COLUMN A	COLUMN B
	TOTAL WEATHERIZATION ALLOCATION			$	$
20 - WEATHERIZATION PROGRAM BUDGET		*Not to exceed without waiver*			
1	Intake			$	$
2	Outreach				
3	Training and Technical Assistance				
4	Direct Program Activities				
5	Liability Insurance				
6	Major Vehicle and Equipment (More than $5,000)				
7	Minor Vehicle and Equipment (Less than $5,000)				
8	Workers' Compensation				
9	General Operating Expenditures				
10	Training and Technical Assistance - Solar Hot Water Heating				
Total Program Costs (Total of lines 1 - 10)				$ -	$ -

REVISED BUDGET FORMS

EXAMPLE ECIP/HEAP/A16 BUDGET FORM (CSD 557D)

Red areas are new

Contractor:		Contract Number: 15B-	Telephone Number:
Prepared By: Name and Title (Please Print)	E-mail Address:		Fax Number:

	TOTAL ADMINISTRATION, ASSURANCE 16, ECIP AND HEAP ALLOCATION			$
10 - ASSURANCE 16 BUDGET				
1	Assurance 16 Activities			$
20 - ADMINISTRATIVE BUDGET				
1	Administrative Costs			$
2	Administrative Equipment (More Than $5,000)			
	TOTAL Administrative Budget (Total of Lines 1 - 2)			**$ -**
30 - INTAKE BUDGET (ECIP AND HEAP)				
1	Intake	*Not to exceed*	*Unless approved waiver on file*	$
40 - OUTREACH BUDGET (ECIP AND HEAP)				
1	Outreach	*Not to exceed*	*Unless approved waiver on file*	$
50 - TRAINING AND TECHNICAL ASSISTANCE (ECIP AND HEAP)				
1	Training and Technical Assistance	*Not to exceed*	*Unless approved waiver on file*	$
60 - ECIP AND HEAP DIRECT PROGRAM SERVICES BUDGET				
1	ECIP EHCS Diagnostics			$
2	ECIP EHCS Cooling Service Repair/Replacement			
3	ECIP EHCS Heating Service Repair/Replacement			
4	ECIP EHCS Water Heater Repair/Replacement			
5	ECIP EHCS Other Program Costs			
	ECIP EHCS Subtotal (Lines 1-5)			$
6	ECIP Wood, Propane, and Oil			
7	Severe Weather Energy Assistance and Transportation Services (SWEATS) (activated by CSD)			
8	HEAP Wood, Propane, and Oil			
9	Liability Insurance			
10	Major Vehicle and Equipment (More than $5,000)			
11	Minor Vehicle and Equipment (Less than $5,000)			
12	Workers' Compensation			
13	General Operating Expenditures			
14	Automation Supplemental			
	TOTAL ECIP and HEAP Direct Program Services Budget (Total of Lines 1 - 14)			**$ -**
70 - SUBTOTAL BUDGET (Total of Sections 10, 20, 30, 40, 50, and 60)				**$ -**
80 - ECIP AND HEAP UTILITY ASSISTANCE BUDGET				
1	ECIP Fast Track and HEAP Gas & Electric			$
90 - GRAND TOTAL BUDGET (Total of Sections 70 and 80)				**$ -**

LIHEAP Service Providers
Community Resource Project
Draft Minutes
October 2, 2014

The LIHEAP Service Providers (LSP) meeting was called to order by LSP Chair Lynda Timbers at 10:10 AM

1. Roll Call – Attendees in-person or via teleconference:

Amador-Tuolumne Community Action Agency
Campesinos Unidos, Inc.
Central Coast Energy Services
Central Valley Opportunity Center, Inc.
Colusa Glenn Trinity
Community Action Agency of Butte County, Inc.
Community Action Commission of Santa Barbara County
Community Action Marin
Community Action of Ventura County
Community Action Partnership of Kern
Community Action Partnership of Madera County
Community Action Partnership of Orange County
Community Action Partnership of Riverside County
Community Action Partnership of San Bernardino County
Community Energy Services
Community Resource Project, Inc.
Community Services and Employment Training, Inc.
Contra Costa County Community Services Bureau
Economic Opportunity Commission of San Luis Obispo Co., Inc.
El Dorado County Health and Human Services Agency
Fresno County Economic Opportunities Commission
Glenn County Human Resource Agency
Great Northern Corporation
Kings Community Action Organization, Inc.
Lassen County
Long Beach Community Services Development Corp
Maravilla Foundation
Mariposa County Department of Human Services
Merced County Community Action Agency
Metropolitan Area Advisory Committee
North Coast Energy Services
Pacific Asian Consortium in Employment
Plumas County Community Development Commission
Project Go
Redwood Community Action Agency
Sacred Heart Community Service
San Joaquin County Department of Aging and Community Services
Self-Help Home Improvement Project, Inc.

Spectrum Community Services, Inc.
TEACH, Inc.
Association of California Community and Energy Services/So Cal Forum
Richard Heath & Associates

2. Approval of June 11, 2014 minutes

M/S/A to accept the minutes of June 11, 2014; V. Martinez/M. Semense

3. Director's Report – Jason Wimbley

Linne' Stout took ill and Jason Wimbley gave the Director's report.

The California Department of Community Services and Development (CSD) was awarded $3.4 million by the U.S. Department of Housing and Urban Development (HUD) Lead Based Paint Hazard Control Grant Program to remediate lead and Healthy Homes funds to address other environmental health hazards in approximately 200 high-risk homes in Fresno, Humboldt, Los Angeles, Sacramento, Sutter, Tulare and Yuba counties.

FFY 2015 Budget/LIHEAP Funding

President Obama signed a $1 trillion stopgap spending bill, which averts a shutdown and will keep the government funded through Dec. 11.

Office of Management and Budget (OMB) issued a Continuing Resolution (CR) for FFY 2015 to fund agencies from October 1 to December 2014. The CR funding is estimated using the FFY 2014 funding level reduced by the across-the-board rescission of -0.0554%. CSD anticipates FFY 2015 LIHEAP CR amount would be $152.2M (this is the estimated total award). CSD received $152.3M in FFY 2014, and the reduction for 2015 would be -$84,357.

Carryover update

The amount of the 2013 carryover funds is $13.4M and it will be added to the 2015 contract.

Low-Income Weatherization Program (LIWP)

Last week, 3 public workshops were held in Sacramento, Fresno and Los Angeles and on Monday CSD held a webinar on the LIWP for the single-family, small multi- family weatherization, and solar water heating. Although attendance was low we did receive useful input which we will use in finalizing program guidelines.

Department Strategic Plan

We are continuing our efforts to complete the strategic plan, and will include the Department's priorities and an implementation plan to ensure that we meet goals and objectives. CSD sent out a letter on September 15th that provided an update on the strategic planning process. The network provided feedback to the strategic plan for CSD that was helpful.

Drought
CSD is working with 10 agencies on a Drought Water Assistance Program (DWAP) to assist drought impacted, low-income households with their residential water utility bill. This is to prevent disruption in vital water services and to promote water conservation. The DWAP is to provide assistance to families currently experiencing some of the worst drought impacts. Services are being provided and CSD is collecting data in order to provide information to the Governor's Office.

CPUC/IOU Coordination
CSD continues to work with the Investor Owned Utilities on finalizing the pilots as well as other issues that are important to ensuring effective coordination. A more detailed report will be provided later on the agenda.

- The 2Q status report is attached.

Comments/Questions:
- Will the cutoff date of December 11th have an effect on the contract dates?

  CSD: CSD will continue to monitor the CR funding and finalize the funding levels for the agencies. About 90% of the LIHEAP funding allocation will be released to states.

- A separate line for the carryover and regular funding will be useful for the agencies.

  CSD: The carryover will come out at the beginning of the contract year.

- Will there be more funding to continue the drought program?

  CSD: CSD will look into this and possibly use the core CSBG funding so the agencies can incorporate this into their programs.

- What is the 2015 LIHEAP allocation?

  CSD: CSD will make something available to the network for planning purposes soon.

4. Chair's Report - Lynda Timbers
- Lynda voiced her appreciation to the network. She said, "How wonderful the world is with you in the world." Her inspiration was Elton John.

- The Roundtable went well with a lot of great discussions on Energy Education, Cash Management and other topics covering the OMB Super Circular and the Draft LIHEAP Contract. For the Energy Education, a template may be in the works so agencies can plug in their agency information to use for their clients. Also the hope is to have someone come to the Roundtable to speak on budget counseling.

- The OMB Super Circular will begin by the end of this year. The network would like to have some training. There will be two workshops given by Cal/Neva.

  OCTOBER TRAINING
  Dates: October 28 and 29, 2014
  Location: Delhi Community Center Ballroom
  505 East Central Avenue, Santa Ana, CA 92707
  Time: Tuesday, Oct. 28—8 a.m. for registration and coffee
  Class is 8:30 a.m. to 4:30 p.m.
  Wednesday, Oct. 29—8 a.m. for coffee and networking
  Class is 8:30 a.m. to 4:30 p.m.

  NOVEMBER TRAINING
  Dates: November 20 and 21, 2014
  Location: RCAC (Sal Solinas Conference Room)
  3120 Freeboard Drive, West Sacramento, CA 95691
  Time: Thursday, Nov. 20—8 a.m. for registration and coffee
  Class is 8:30 a.m. to 4:30 p.m.
  Friday, Nov. 21—8 a.m. for coffee and networking
  Class is 8:30 a.m. to 4:30 p.m.

  Sign up:
  http://origin.library.constantcontact.com/download/get/file/1101666776992-311/CalNEVA+OMB+Flyer_2014.pdf
  Other links:
  http://m.venable.com/the-omb-super-circular-what-the-new-rules-mean-for-nonprofit-recipients-of-federal-awards-03-20-2014/

- There will be an election for the Chair of the LSP committee. M/S/A by V. Martinez to have Lynda Timbers continue as the Chair and have Marisa Semense as the Vice Chair, M. Culbertson seconds.

  A motion was made to close nominations. M/S/A M. Culbertson/V. Martinez

  The election will be in December.

5. PG&E Pledge System - Sheryl Wilson
Sheryl came to speak on the PG&E decision to not use faxing to make cash assistance pledges.

She manages the REACH payment program for PG&E and also the LIHEAP payments and pledges. The Privacy of the customer has been an issue. Any two pieces of personal information needs to have the utmost possible privacy. The faxing of this information may be a possible source of breaching this privacy. They now want to have other better options for pledges. The email and the 800 number are still going to be used for pledges.

Comments/Questions:

- RCAA prefers the fax option because this was a more efficient way to track clients. Emails can be hacked and faxing was a better option that also gives a confirmation of the pledge reaching PG&E.

  PG&E: If the email is not from an open network it has some checks to make it more secure. Acknowledge that a track and a confirmation is needed.

  Sheryl will take suggestions. PG&E is trying to make sure the design will work.

  You can contact Sheryl Wilson directly at 916-375-5067 or S1Me@pge.com

- Half the network is using the phone and half using the fax and only a few using email.

  PG&E: The agencies could provide more security for their fax machines.

- When an agency can only call in 10 pledges at a time this is not an efficient way to make pledges.

  PG&E: PG&E will work with local systems to see if there is a way to branch into this option. All system operators and the agencies should be involved in these discussions.

- CSD will try and initiate this discussion between the network, vendors and PG&E. This will help to assure that all benefit all parties come from these discussions.

6. Automation Update - Diana Felden

CORE:

- CSD will be deploying software updates into CORE on Friday, 10/3 because of this CORE will be offline beginning at noon.

- The items being deployed are:
  Reports:
  - Reports: Revised the existing 4 reports (Customer Application Details, Variance, YTD, and Deficient/Rejection) to include additional selection criteria and removed the merged cells.
  - Payment status updates – corrected the process in CORE which updates a direct payment status (e.g., moving a payment status from Sent to Utility to Utility Account Credited).
  - WPO Applications – Revised CORE to reject a WPO_application with a 0 payment amount.
  - User Accounts – Allows CORE users the ability to change and maintain their own password.
  - Note Fields – Reduced the number of note fields to 2: Application and Customer screens.

- Timing out – Increased the time out limit in CORE to 4 hours.

The rest of this year there will be no system enhancements except for a CRM software upgrade to 2013. CSD staff time will be devoted to updating the user guide and training videos to match the new screens changed because of the software upgrade and if necessary, providing training webinars.

- Objective is to clear the remaining CORE items list by spring 2015.

- Finishing off the original CORE development items puts us in a good place to begin new endeavors. CSD wants LSPs assistance in determining priorities. We know there are several CSD systems that you interact with regularly in your day to day operations and our goal is to make the processes and the systems as efficient and effective as possible. Essentially, we are looking for ways to improve the applications you use. We value your opinion and want your honest assessment. So with that, look for a survey on CSD Systems coming soon. The survey will also include a question on your willingness to participate in a regular forum with IT Leadership. CSD already has regular contact with your software vendors; this forum will ensure we also have regular contact with the LSP as well on systems and data issues.

- The return payments: this was an item that is not yet ready for release.

- The need for the front end systems to sync with CORE is added to the list. CSD will work with the agencies and vendors on this.

Comments/Questions:

- Will the agencies need to upgrade equipment?

  CSD: No

- Can the agency still upload applications to CORE?

  CSD: Yes this is still an option.

- ServTraq only has the data upload process.

- The Contractor website has been having problems with the password. Also the issued passwords from the website do not always work.

- Will this be a forced password update?

  CSD: There will be a 60 day time to change the CSD issued password.

- Will the password be 11 characters?

  CSD: CSD will check and be delivered in an email on Friday.

- EARS: It will be helpful if EARS provided a remaining funds balance. Can this be added so it does not have to be calculated each time by the agencies?

  CSD: CSD will note this and try and work out a solution.

IT Action Item:

- Diana Felden said she'd look into the policy/requirements for the length of time one's password stays active for the Provider's website.

- Update: According to CSD Departmental policy, password expiration date is set for 60 days and applies to all CSD systems. This is also standard best practice. Therefore the Providers website password expiration will remain at 60 days.

7. Low-Income Weatherization Program (LIWP) Automation - Jason Wimbley

CSD conducted public workshop events on 9/17 (Sacramento); 9/24 (Fresno); 9/25 (Los Angeles); and 9/29 a webinar event. Attendance in general was low, and workshop attendees including municipal utility representatives, affordable housing associations and operators, Federal Department of Housing and Urban Development, SB535 coalition members, and community groups. A more detailed report will be provided later in the agenda.

CSD is looking at the best way to automate the tool that was developed by RHA. There will be a survey issued today on how to best roll out the LIWP tool. This will go out to the vendors on costs and how to best use the tool.

CSD is looking at one tool that will work with all programs.

Comments/Questions:

- How will the cost of developing the tool be paid for?

  CSD: CSD has some funds for this so they need the information from the vendors on costs etc.

8. Energy Council Report - Val Martinez

CSD opened the last Energy Council (EC) on July 18 to the network to discuss how the LIWP will work and possible impacts on other programs. There was some concern in the network that LIWP might have some significant impacts on LIHEAP.

In the legislation, the funds were split between Multi-Family Units (MUDs) and Single-Family units to also include solar and solar water heating for all types of units.

The menu of measures will be determined on how much Greenhouse Gas (GHG) emissions are saved. RHA is doing the analysis with the mix of measures needed to hit the goals.

The solar area had concerns about subcontracting out to other entities as Grid Alternatives. This has now been opened for all entities to submit proposals. If another entity does do the administration, then they will need to work with the network.

Future topics:

- IOU coordination
- Joint IOU demo pilots
- Electronic weatherization forms
- LIWP

The members can be contacted if there are questions or issues.

EC members:
Buddy Ray: bray@capoc.org
Val Martinez: valmartinez@rcaa.org
Dennis Osmer: Dennis@energyservices.org
Linda McQueen: linda@pacific.net
Lynda Timbers: lynda@projectgoinc.org
Alex Sotomayor: alexsot@aol.com
Brenda Callahan-Johnson: brenda@mercedcaa.org
Brandy Caporaso: bcaporaso@gnccorp.org
Maria Juarez: mjuarez@capriverside.org

9. LIWP Program Implementation - Jason Wimbley

Report on Workshop

Again, the workshops included a presentation on CSD plans for implementing Cap and Trade auction revenues to provide weatherization and renewable energy projects for both single- and multi-family buildings, proposed funding levels for each service component, and plans for implementing each of the three components. The workshop focused mainly on Single-Family weatherization services and separate workshops will be held for large multi-family weatherization and solar PV program components

A general feedback received at the workshops:

- Outreach services – how will services be targeted to disadvantaged communities?
- Disadvantaged communities – where are they located and how are they defined? Will CSD spend all of its funds exclusively within disadvantaged community areas? How will weatherization and renewable energy projects be selected? Will CSD consider weatherizing neighborhoods to achieve economies of scale benefits on job creation and other economic co-benefits to these communities?
- Coordination – several municipal utility companies and investor-owned utility companies expressed strong interest in coordinating weatherization activities with LIWP. Already CSD has initiated discussions with the Sacramento Municipal Utility District (SMUD) to explore opportunities and

discussions. CSD is most interested in broadening its customer data sharing initiatives to include municipal utility companies.

- Workforce Development – interest in job and training opportunities activities and how will job opportunities be afforded to disadvantage community members.
- Funding - several questions on how funds will be awarded and administered locally, and preference for using existing local energy providers to support local administration.

Solar RFI

CSD received four responses to the Request for Information solicitation. CSD intends to conduct follow-up interviews with respondents offering the strongest responses and most apt to serving CSD's needs for program administration. CSD hopes to schedule these interviews within the next two weeks

Comments/Questions:

- If a contractor will offer several services then will another RFI or RFP be issued? Yes for some areas to better determine the costs and other factors.

  By next week CSD will do follow ups with the responders. If they feel that the responses received were good and a decision can be made then they will not have to issue an RFP.

General Program Design and Data Submission

CSD has directed RHA to perform a detailed analysis of the 2013 LIHEAP weatherization program to determine GHG impacts of LIHEAP weatherization activities, forecast GHG impact potential of LIWP and provide an assessment of each local agency's ability to achieve LIWP GHG targets based on current LIHEAP weatherization administration. CSD will host a webinar meeting to share with providers the methodologies and assumptions used in RHA's analysis and how the results of this analysis will be shared with providers for further evaluation and feedback. CSD intends to host individual phone interviews with each agency to explain the results and provide technical assistance to assist with improving goal potential.

Preliminary results indicate we will achieve approximately 54% of Air Resource Board's (ARB) annual reduction estimates for single-family weatherization. ARB's GHG reduction estimates for single-family 8,000-15,000 $MTCO_2$. Additionally, the results indicate that 1) the types of measures installed by provider vary which may be attributed to costs, experience of agency or other factors, 2) the cost of weatherization services vary greatly for each provider. Cost is a critical factor in the LIWP program and CSD will be looking for ways to reduce costs, and 3) how much of the costs are going toward the measure installation is being evaluated. Each agency will be evaluated for this and other factors.

CSD is devising a tablet-based electronic form to support data collection and assessments of LIWP weatherization projects. The tablet will estimate GHG

reductions for LIWP weatherization projects, assist with confirming the location of the project to be within disadvantaged community areas, and support the collection of added dwelling information to support more precise backend calculation of GHG reductions figures from LIWP weatherization projects. CSD is still working on completing the specifications of this tablet and will issue a survey to vendors and agencies to inquire preferences for integrating the use of the tablet form locally.

CSD is still actively working with the IOUs and California Public Utilities Commission (CPUC) on obtaining low-income customer data to assist targeting of LIWP services to high-energy using low-income customers. IOUs thus far have signaled strong interest in supporting CSD administration of LIWP funds, and specifically LIWP targeting and outreach objectives.

CSD is trying to align LIWP and LIHEAP so the assessments can be done for each program together so one form is needed. The LIWP form at this time will capture some of the information that is needed.

Comments/Questions:

- Can you explain with LIWP is?

  CSD: LIWP is the Cap and Trade (C&T) funded program to help reduce GHG emissions and save energy that was allocated to CSD for Disadvantaged Communities (DACs). These services are intended to benefit DACs by doing WX and other measures such as solar and large Multi Family (MUDs) projects to reduce GHG and energy costs. The definition of DAC has not been finalized by the CalEPA.

- How is this going to work for the solar and large MUDs?

  CSD: For the large MUDs there will be no LIHEAP leveraging. Other types of programs and funding will be used. For solar there may be a need for LIHEAP. If so, the local service provider is likely to perform the weatherization assessment.

- Clients receiving solar would then have to qualify for LIHEAP?

  CSD: If solar is leveraged with LIHEAP, then yes they would have to qualify under LIHEAP. If the client does not meet LIHEAP income guidelines, other leveraged funds will need to be used.

  CSD is looking at the different ways to tie these different programs together.

- Will there be separate training and qualifications for LIWP? Will the outside administrator also need this training?

  CSD: For single-family and small multi-family weatherization services, CSD intends to uphold existing weatherization training requirements. CSD may

consider altering the requirements for when mandatory training must be completed to address the shortage of training centers and their ability to meet anticipating training demands. CSD's weatherization training requirements are specifically oriented to single-family weatherization activities and not entirely applicable to the commercial building setting which most large multi-family buildings fall within. As experienced with ARRA, subjecting weatherization training requirements to large MF weatherization activities proved problematic and CSD had to exempt the majority of the training requirements for the new administrators focusing exclusively on large multi-family building weatherization. More than likely will pursue the same exceptions under LIWP. Solar PV is considered a stand-alone service and will carry its own training and certification requirements.

- Is there the expectation that the Large MUDs and Solar projects will do their own intakes?

  CSD: Yes

- Some of the forms used in the pilot need work. Can this be done so they can be used? They are not working yet and only 90% work at this time.

  CSD: Yes.

- Will the use of these forms be mandatory? If there is a policy decision that these will need to be used for all programs then we need to know and also have the forms fixed.

  CSD: The purpose of doing the pilot is so the agencies can get familiar with using the forms, and through the pilot the advance of technology was accepted. The forms can either be used as is or incorporated into the local systems. The survey that is being released to the vendors and the network will help determine the best approach. Most providers see value in using the electronic forms and tools. CSD recognized that the forms will need additional work.

- Provider commented that CSD must provide guidance on the use of the forms. Without proper guidance, it makes it difficult to put more funds into automation. Decisions must be made to keep this going and have progress.
  CSD is close to making critical decision to standardize the forms, which is difficult and has impacts on the agency's operations. The surveys need input from the agencies and the vendors.

.

- How long will all of these processes take?

  CSD is currently doing the evaluations and all will be shared with the agencies hopefully by the end of this month. They will have a webinar after they find the end results.
  The unknown factor is how long and if the agencies can get the work completed under the parameters given.

- With the 54% of the goal met, were all measures evaluated or only the measures that are being proposed for LIWP?

  CSD: CSD looked at efficiency and non-efficiency measures for the total Co savings and the cost ratio.

- Was there any one measure always meeting the target?

  CSD: No.

- But there is no cost yet on this measure because it is not done at this time. So reality is that this should be brought back to ARB for adjustments now since agencies need to have contracts as soon as possible.

  CSD: It is premature now to go back for adjustments. Since agencies may not do the proposed measures yet CSD needs to know what the costs are and the reason for not doing the measure. The number really needs more evaluation to make a correct adjustment.

- Is this on lower end or higher?

  CSD: Probably lower

12:20-1:00 Lunch Onsite

10. California Lifeline Program - Serena Kirk

Serena Kirk was unable to attend the meeting, and will be invited to the LSP meeting in December**.**

The program provides discounts for phone service and provides cell phones at no cost. LIHEAP applicants, who are income qualified, automatically qualify for these services.

CSD was asked if any of the agencies might want to participate in signing up people. LIHEAP is an automatic qualifier for this program. The clients may need something to show they received the service.

The Lifeline handout is attached.

11. Energy Contracts - Kathy Andry/Leslie Campanella

<u>2014 LIHEAP Performance Update</u>

Second quarter performance through June 30, 2014 indicates that 36% of the LIHEAP has been expended as follows:

- WX – 39% expended

- EHA-16 – 31% expended
- Heap – 37% expended
- FT – 40% expended

27 agencies did not meet their expenditure goal for the 2nd Quarter

28 agencies did not meet their production goals

Total units/HH served is 100,097 versus projection of 93,503 for a positive difference of 6,594.

Some agencies are exceeding expenditure/production goals.

2015 LIHEAP Program

State Plan Hearing
US Department of Health and Human Services has approved the state plan. It is posted on the CSD website. The plan was submitted electronically as well as the reports.

CSD held the 2015 LIHEAP State Plan hearing in August and received written comments from Central Coast Energy Services as follows:

Comment: CSD response that weatherization measures are not subject to DOE Savings to Investment Ration (SIR) standards is not checked.

CSD Response: The way the plan is set up we have to respond to either state that our program is mostly under LIHEAP rules or mostly under DOE rules.

CSD indicates that LIHEAP weatherization is mostly under LIHEAP and indicated that we follow the DOE 66% rule for LIHEAP.

LIHEAP provides flexibility to follow the SIR when using the REM or an agency can follow the 3 measure minimum rule, and there was not a need to specify this in the plan.

Comment: CSD should consider LED instead of CFL.

CSD Response: CSD will evaluate LED as a potential measure and will amend the LIHEAP contract, if this measure is adopted.

Comment: There should be a clear criteria set for how leveraging of LIHEAP funds will be achieved as opposed to the funds being used to cover expenses that should reasonably be carried by other programs.

CSD Response: CSD did not specifically respond to this in the plan; however, the comment was captured.

CSD's weatherization programs are similar in objective to provide energy efficiency measures and address health and safety issues in the home. With

funds declining, leveraging will be essential. The benefits of leveraging will allow for administration and support costs to sustain programs, and in the LIWP it is important to leverage with LIHEAP to provide the health and safety measures.

CSD will work with the network to figure out ways to mitigate costs.

The State plan was sent to HHS on September 1 and was just approved yesterday. The final plan is now posted to CSD's public website.

Comments/Questions:

- What would help move the next step along so that LED can be a measure?

- CSD: CSD needs to develop specifications and evaluate costs of this measure. If LED are included as measure, then the LIHEAP contract will be amended. CSD is evaluating all measures for cost and benefit and effectiveness. The added costs for instance for the LEDs could be offset by the societal benefit which could be considered. The LIWP will incorporate new measures.The hazardous waste should be consideration for any measure including CFLs and LEDs.

- The Lumins also need to be considered. So the amount of watts to set the Lumins should be the consideration as well as the kind of light that is produced.

- In the process for evaluation is there the option that the agencies can make a choice for the clients?

  CSD: CSD is trying to make a matrix for the measures to include the area specifics.

- What is the process to add new measures? Will the state plan need to be changed? How about HE washers and dryers? Utilities have added these measures and the Governor has said to make the programs more similar.

  CSD: The state plan will not need to be amended to add LED; however, if the measure is significant such as solar then the plan is likely to be amended. CSD will consider these measures.

- Recognizing the facts, CSD is looking for statewide administrators for different components of LIWP, wouldn't it be more beneficial to have the LIHEAP contractors be these administrators to be able to use the leveraging of LIHEAP?

  CSD: Yes it would and any state administrator would have to be connected to the local LIHEAP provider.

<u>Contract Release and Funding</u>

2015 LIHEAP draft contract was released on 9/11 for a 30 day comment period. Comments are due by 10/11.

CSD is hosting a webinar on 10/8 to review the contract format and highlights.

CSD is sending out a spreadsheet to agencies to confirm if the percentage allocated for utility assistance is sufficient so that we can build the initial 2015 LIHEAP allocation spreadsheet. If an agency decides that they need to change their allocations, then they can do so during the contract submission by completing a 509 form and return with the contract.

Earlier this year, the 3FF Committee proposed a recommendation to establish a supplemental funding criteria for agencies that would receive less than $500,000 as determined by the straight 3FF and reduced funding would not allow the agency to provide all the basic provisions of LIHEAP services.

CSD was hopeful to have the supplemental funding criteria in place by now; however, due to LIWP program CSD not been able to focus on this project until recently.

CSD will set aside 2 percent of the 2015 LIHEAP allocation for the supplemental funding, and will develop the criteria in consultation with the small agencies and original 3FF committee members, who are interested, and evaluate requests for supplemental funding by the first quarter of next year.

CSD will release the HEAP payment levels by mid-October. CSD will need agencies to review the payment amount and notify CSD within a week if they wish the payment to be reduced.

The Eligibility guide will be released early December.

They will work on the EARS reporting specifications in October so vendors can get them early November so they can make the changes.

Comments:

- Can the constant need to change the password that is unnecessary be changed?

  CSD will look at this problem. Additionally, to improve communications, there is a need to have all emails correct for all agency staff. CSD plans to transition to using the email feature via the contractors website and communication will be sent on this transition. Energy division plans to increase its use of the blog as well.

- On the site, there have been error messages that come up all the time in the Cap and Trade hyper-link.

- There is some confusion on modifications (45 days) and amendments.

CSD: The 45 day rule will be applicable for the 2014 LIHEAP contract. This will no longer be an issue in the 2015 since the contract will now include both direct services and utility assistance allocations. The new 509 process will be covered in the webinar.

- Provider commented that there used to be a 10% variance possibility but EARS will not allow this now. This leads to the amendments and modifications.

- Provider commented that it is difficult to obtain actual costs of expenditures for dwellings in the last month of the contract. The agencies need to make changes to find a way to make sure all funds are expended. Monitors are requesting modifications from the agencies.

  CSD: If there is a small difference in line item spending there is no need to make a modification, unless it is for a capped line item.

- Will the 2014 and 2015 have separate reporting? This is needed so agencies can make the changes. The in-house systems may need changes and the cost of these changes also will have an impact.

  CSD: Yes

- The reporting changes for 2015 include changes to the administrative line item. The agency's fiscal department will need to change their reporting processes.

  CSD: The reporting changes for 2015 include the changes to the administrative line item now being one line item. No changes are proposed for the measure and demographic reporting. The vendors will need at least 60 days to get this change done. The cost of these changes are not known yet.

- The restructuring of admin, is this a challenge? For some agencies there are some problems because of their reporting systems and processes.

- The problem, will the agencies lose some of the percentage of admin?

  CSD: No. Agencies will receive 5% for administrative costs.

- The agencies do not understand the admin formula. CSD can show this in the webinar on October 8th?

  CSD: Yes.

- The 2014 contract concerns are leading to the need for having a 6 month extension because of the late release of the 2014 augment to the contracts. CSD will need to discuss this for consideration because of the carryover possibility and how they will need to get this done.

- Can the local plan date be extended to the end of the month?

CSD: Yes

Agency Local Plan

CSD recently released the Agency Local Plan with a return date of October 17. *Note: Plans are now due October 27.*

As mentioned at the provider meeting in June, the Agency Local Plan was enhanced to obtain important information on how your organization plans to deliver, coordinate and prioritize LIHEAP services to clients in your service territory(ies). It is important that your agency provide comprehensive responses to each of the questions to best assist CSD in the development of the annual state plan, to respond to inquiries from the public and to offer the network peer-to-peer best practices.

The goal is to complete a comprehensive plan this year and in subsequent years, agencies will simply have to update for changes.

Comments:
If only 90% of the contract is expended, will the admin also be paid as 90%?

CSD: Yes, Administrative and Assurance 16 costs must be proportionate to expenditures.

The reason that Administrative and Assurance 16 costs must be expended proportionally to an agency's allocation for Direct Services (formerly consideration) consideration and Utility Assistance (formerly non-consideration) is because federal law restricts these categories to a certain percentage so when unexpended funds are carried over than those funds must include enough Administrative and Assurance 16 funds to support delivery of services.

On October 21, CSD reconfirmed this understanding with the Energy Council and it was recommended to retain this policy to ensure that sufficient Administrative and Assurance 16 funds are available to support the expenditure of carryover.

2013/2014 DOE Program Update – James Kirk

WIS/Field Guide

The WIS is complete with the exception of a few outstanding issues related to SWS. The outstanding items will be addressed with DOE during their visit next week.

The Field Guide is going through its third and final round of internal review. Once that is complete a timeline will be issued.

The review of the Field Guide will follow the same process as the WIS. Sections of it will be released to the network for review and comment. Comments will be compiled and reviewed by the WIS Review Committee before CSD finalizes the manual.

Once finalized, both manuals will be released to the network and training will be made available.

Inspector Training/Results of QCI Survey

The results indicate that 51% of the potential candidates have enough experience to apply for the exam.

27 agencies have at least one potential candidate.

Once we put scenarios together with the costs and pros/cons, we will need to pull a committee or survey together so we can fully understand all of the issues at the providers' end.

CSD will be conducting an analysis and weighing several factors: short and long term costs, the use of internal vs. third-party inspectors and the effect on local workflow processes, contingency plans to cover staff turnover, certification of our own trainers and training center, and how best to address future certifications and re-certifications (required every 3 years) .

CSD will be contracting with an out-of-state certified trainer to, at a minimum, train ConSol and CSD QC staff who are also required to be certified. Dependent upon our final implementation plans, the training will be extended to the network utilizing the out-of-state trainer.

This requirement takes effect for the 2015 DOE contract.

Comments:

- Agencies can continue to follow the same inspection protocol for this contract ending June 30th?

CSD: Yes.

- Will there be regional inspectors?

CSD: Possibly.

- Will all DOE funds go for this training?

CSD: CSD is evaluating this now on how much this will cost. CSD is finding a way to have trainers come to the state. DOE is mandating this but there are benefits for all programs. CSD is looking for ways to fund this training.

- CSD should consider using the carryover dollars off the top. This funding is not yet at the agency so will not be missed as much.

DOE Monitoring

DOE will be present next week for monitoring purposes. The DOE Project Officer will be onsite at CSD on Monday and complete his visit on Friday. He will be reviewing our processes in comparison to the State Plan.

A DOE inspector will also conduct inspections at Long Beach next week. It will include a review of their processes to evaluate our program oversight.

Comments:

- Who is the new DOE monitor?

  CSD: Carl Saueressig.

- Provider commented that in prior monitoring it was asked why the REM design audit includes a 3% cost factor added to the measures. This cost factor is based on borrowing of money when this program does not have any borrowing. Why is this factored in? This cost factor prevents measures to meet the SIR. All natural gas units do not pass and receive no measures.

- Please have this reviewed by DOE.

12. CPUC Pilot Project Update - Chuck Belk/Lynn Wiley

The geographic pilot:
The pilot has been completed and the evaluation is almost complete. They are looking at what worked and didn't work as well. They will complete this by the first week of October and can be made available to the network. This pilot helped with what is needed to make this neighborhood concept work well.

Comments/Questions:
If the network can be highlighted that would be important to show the collaboration of CSD network and the IOUs.

The solar water heater pilot

- 165 installs to date
- Seven new agencies being brought on in preparation for LIWP: funded with LIHEAP dollars for training and to install 3 – 6 systems before their LIWP contracts take over the installation costs. Those contracts begin October 1, 2014.
- AB 2188 signed by the Governor on September 24th to streamline permitting for residential solar (thermal and PV).
- Requires all cities and counties to adopt a standardized streamlined permitting practice, via ordinance, by 9/30/15.

13. Program Monitoring Update - Che Fernandez
September webinar went over the 2015 Monitoring Policy and Procedures. The webinar is on the website now under the training section. The monitoring tool also is posted on the monitoring page.

Field monitoring will resume in 2015 between Jan-June. Within the next few weeks the monitoring visits will be scheduled.

Martha Lopez and Kevin Lee are new monitors in Field operations.

Comments/Questions:

- There were some questions on the tool. Is there a possibility for agencies to get a webinar on the monitoring tool? They want to make sure they understand what the questions mean and what CSD wants form some of the questions.

  CSD: Yes, although agencies differ and so will the answers to the specific questions.

- Are all of the tools online? This will make the process easier and help agencies prepare for the visits.

CSD: The monitoring scope is available and CSD will make the tools available on the Contractor's website.

14. Announcements:

- **Michael Small is new employee at CSD and serves as a research specialist for the Department.**
- **2015 LIHEAP Contract Webinar –October 15**
- **Next Quarterly LSP Meeting – December 10**
- **ACCES Roundtable Session – December 9**

15. Other topics for next meeting:

- **Can CSD have IOUs report on the capitation program and involvement of the agencies?**

  Some agencies had a contract for capitation and do not now. Jason will try and bring this up at the subcommittee meeting of the LIOB tomorrow. There have been problems in payment.

  Message from Jason next day:
  As promised, I connected with the IOUs today on the use of capitation contracts as part of their CARE outreach strategy. I was able to confirm that PG&E, SDG&E and SoCalEdison currently offer capitation contracts and have differing cycles for renewing existing and initiating new contracts. PG&E renews or initiates new capitation contracts annually; SDG&E and SoCalEdison renew annually and adds new contracts at any time. From yesterday's LSP meeting, it seemed the interest on capitation contract opportunities was focused on PG&E. I believe PG&E's cycle for renewing capitation contracts is nearing. Anyone interested in learning can contact Maril Pitcock at "mxwl@pge.com".

- Can CSD also provide the appropriate contact (someone we can actually get a hold of) for SoCalEdison and SoCalGas as well. Communication has been difficult to keep it going and inquire on apps/payments.

  Jason Wimbley will reach out to those utilities and get back to the network.

Adjournment: 2:37 PM.

2013 LIHEAP Statewide Expenditure

Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	≥ 90% Expenditure
Spectrum Community Svcs. Inc.	13B-5001	$ 1,379,914.00	$ 1,379,914.00	$ 1,842,130.00	$ 1,242,194.23	$ 934,706.00	$ 549,959.24	$ 672,275.00	$ 343,635.00	$ 4,829,025.00	$ 3,509,702.47	73%	No
Amador-Tuolumne CAA	13B-5002	$ 325,493.00	$ 325,493.00	$ 480,254.00	$ 455,433.16	$ 213,417.00	$ 187,675.00	$ 192,202.00	$ 167,852.67	$ 1,211,366.00	$ 1,136,453.83	94%	Yes
Butte County Inc. CAA	13B-5003	$ 532,297.00	$ 532,297.00	$ 953,237.00	$ 953,237.00	$ 146,387.00	$ 146,387.00	$ 264,752.00	$ 264,752.00	$ 1,896,673.00	$ 1,896,673.00	100%	Yes
Glenn County HRA	13B-5004	$ 257,488.00	$ 211,721.58	$ 475,552.00	$ 431,235.77	$ 113,541.00	$ 113,541.00	$ 157,484.00	$ 157,484.00	$ 1,004,043.00	$ 913,982.33	91%	Yes
Contra Costa County CSD	13B-5005	$ 876,933.00	$ 876,933.00	$ 711,030.00	$ 710,854.36	$ 584,005.00	$ 584,005.00	$ 966,410.00	$ 966,410.00	$ 3,138,378.00	$ 3,138,202.36	100%	Yes
El Dorado County DCS	13B-5007	$ 380,700.00	$ 380,700.00	$ 680,031.00	$ 496,324.49	$ 346,507.00	$ 271,471.00	$ 29,834.00	$ 27,882.00	$ 1,417,072.00	$ 1,156,477.49	82%	No
Fresno County EOC	13B-5008	$ 1,994,243.00	$ 1,994,243.00	$ 1,386,167.00	$ 1,170,038.24	$ 2,313,884.00	$ 2,313,884.00	$ 1,749,079.00	$ 1,749,079.00	$ 7,443,373.00	$ 7,227,244.24	97%	Yes
Redwood CAA	13B-5009	$ 641,540.00	$ 541,540.00	$ 900,213.00	$ 900,213.00	$ 271,221.00	$ 271,221.00	$ 113,729.00	$ 113,729.00	$ 1,926,703.00	$ 1,826,703.00	95%	Yes
Campesinos Unidos, Inc	13B-5010	$ 1,276,227.00	$ 729,818.88	$ 1,371,679.00	$ 803,215.41	$ 695,750.00	$ 477,655.49	$ 1,574,050.00	$ 1,261,205.83	$ 4,917,706.00	$ 3,271,895.59	67%	No
IMACA	13B-5011	$ 199,061.00	$ 94,476.91	$ 577,597.00	$ 324,349.37	$ 16,689.00	$ 8,833.00	$ 8,344.00	$ 6,174.00	$ 801,691.00	$ 433,833.28	54%	No
CAP of Kern	13B-5012	$ 1,404,988.00	$ 1,279,797.09	$ 1,199,071.00	$ 813,512.79	$ 1,080,891.00	$ 1,078,956.00	$ 1,351,115.00	$ 1,346,246.79	$ 5,036,063.00	$ 4,518,512.67	90%	Yes
Kings CAO	13B-5013	$ 230,261.00	$ 230,261.00	$ 312,616.00	$ 224,828.29	$ 292,719.00	$ 292,719.00	$ 97,572.00	$ 97,572.00	$ 933,168.00	$ 845,400.29	91%	Yes
North Coast Energy Svcs	13B-5014	$ 1,801,526.00	$ 1,801,483.21	$ 1,909,392.00	$ 1,697,489.41	$ 1,288,208.00	$ 1,223,377.88	$ 1,458,674.00	$ 1,456,337.00	$ 6,457,800.00	$ 6,178,687.48	96%	Yes
Lassen EDC	13B-5015	$ 151,782.00	$ 128,931.28	$ 407,642.00	$ 370,949.94	$ 13,856.00	$ 13,856.00	$ -	$ -	$ 553,280.00	$ 511,737.22	92%	Yes
CES	13B-5016	$ 2,322,799.00	$ 2,243,432.51	$ 3,721,999.00	$ 3,342,317.66	$ 1,604,422.00	$ 1,604,422.00	$ 858,407.00	$ 858,407.00	$ 8,507,627.00	$ 8,048,579.17	95%	Yes
Maravilla Foundation	13B-5017	$ 2,399,758.00	$ 2,374,419.84	$ 2,979,162.00	$ 2,723,158.22	$ 3,601,108.00	$ 3,391,062.40	$ 250,000.00	$ 250,000.00	$ 9,230,028.00	$ 8,738,640.46	95%	Yes
PACE	13B-5018	$ 1,669,677.00	$ 1,669,677.00	$ 1,730,172.00	$ 1,534,646.20	$ 1,067,762.00	$ 1,067,762.00	$ 1,983,880.00	$ 1,983,880.00	$ 6,451,491.00	$ 6,255,965.20	97%	Yes
Long Beach CSD	13B-5019	$ 2,662,190.00	$ 2,530,218.00	$ 1,452,847.00	$ 1,268,283.04	$ 3,052,637.00	$ 3,048,076.85	$ 3,052,639.00	$ 3,052,639.00	$ 10,220,313.00	$ 9,899,216.89	97%	Yes
Madera CAC	13B-5020	$ 308,273.00	$ 308,273.00	$ 252,362.00	$ 252,362.00	$ 394,335.00	$ 391,933.00	$ 290,687.00	$ 290,687.00	$ 1,245,657.00	$ 1,243,255.00	100%	Yes
CAM	13B-5021	$ -	$ -	$ 190,838.00	$ 125,861.85	$ 151,218.00	$ 151,218.00	$ 161,028.00	$ 161,028.00	$ 503,084.00	$ 438,107.85	87%	No
Mariposa County HSD	13B-5022	$ 121,170.00	$ 121,028.00	$ 302,554.00	$ 302,058.38	$ 38,231.00	$ 38,231.00	$ 48,131.00	$ 48,131.00	$ 510,086.00	$ 509,448.38	100%	Yes
Merced County CAA	13B-5023	$ 438,777.00	$ 438,777.00	$ 437,434.00	$ 437,434.00	$ 119,439.00	$ 119,439.00	$ 717,194.00	$ 717,194.00	$ 1,712,844.00	$ 1,712,844.00	100%	Yes
TEACH (ECIP and HEAP only)	13B-5024	$ -	$ -	$ 230,430.00	$ 215,401.00	$ 98,367.00	$ 50,712.40	$ 23,421.00	$ 23,421.00	$ 352,218.00	$ 289,534.40	82%	No
Nevada County HCS	13B-5025	$ -	$ -	$ 236,992.00	$ 188,596.97	$ 153,272.00	$ 146,238.30	$ 117,323.00	$ 91,855.00	$ 507,587.00	$ 424,690.27	84%	No
CAP of Orange County	13B-5026	$ 1,426,301.00	$ 1,401,078.32	$ 1,623,919.00	$ 1,599,007.05	$ 1,208,035.00	$ 1,206,568.80	$ 1,208,035.00	$ 1,208,038.00	$ 5,468,290.00	$ 5,414,692.17	99%	Yes
Project Go, Inc.	13B-5027	$ 291,499.00	$ 219,499.00	$ 345,244.00	$ 345,244.00	$ 200,887.00	$ 200,887.00	$ 200,886.00	$ 200,886.00	$ 1,038,516.00	$ 966,516.00	93%	Yes
Plumas County CDC	13B-5028	$ 134,201.00	$ 134,151.99	$ 364,784.00	$ 364,784.00	$ 41,103.00	$ 39,250.00	$ 14,161.00	$ 9,817.00	$ 554,249.00	$ 548,002.99	99%	Yes
CAP of Riverside County	13B-5030	$ 1,865,888.00	$ 849,891.47	$ 1,804,948.00	$ 628,689.14	$ 2,362,780.00	$ 1,825,731.07	$ 937,610.00	$ 937,610.00	$ 6,991,226.00	$ 4,341,921.68	62%	No
CRP, Inc.	13B-5031	$ 1,914,184.00	$ 1,914,184.00	$ 2,780,255.00	$ 2,780,254.99	$ 1,671,128.00	$ 1,671,128.00	$ 1,019,783.00	$ 1,019,783.00	$ 7,385,350.00	$ 7,385,349.99	100%	Yes
San Benito	13B-5032	$ -	$ -	$ 131,568.00	$ 115,176.00	$ 120,869.00	$ 120,869.00	$ 121,029.00	$ 121,029.00	$ 373,466.00	$ 357,074.00	96%	Yes
CAP San Bernardino	13B-5033	$ 2,081,957.00	$ 2,080,547.38	$ 1,029,617.00	$ 798,341.17	$ 1,604,667.00	$ 1,604,667.00	$ 3,493,298.00	$ 3,216,937.27	$ 8,209,539.00	$ 7,697,492.82	94%	Yes
MAAC	13B-5034	$ 631,575.00	$ 631,575.00	$ 689,671.00	$ 689,671.00	$ 720,177.00	$ 720,177.00	$ 392,823.00	$ 392,823.00	$ 2,434,246.00	$ 2,434,246.00	100%	Yes
EOC of San Francisco	13B-5035	$ 898,147.00	$ 873,751.83	$ 681,417.00	$ 417,495.90	$ 1,113,075.00	$ 1,111,154.00	$ 513,726.00	$ 513,726.00	$ 3,206,365.00	$ 2,916,127.73	91%	Yes
San Joaquin County	13B-5036	$ 978,879.00	$ 515,980.38	$ 565,764.00	$ 540,688.84	$ 1,355,323.00	$ 1,355,323.00	$ 864,107.00	$ 864,107.00	$ 3,761,873.00	$ 3,276,099.20	87%	No
CAP of San Luis Obispo	13B-5037	$ 298,858.00	$ 298,858.00	$ 398,856.00	$ 398,856.00	$ 179,191.00	$ 179,191.00	$ 165,084.00	$ 149,250.00	$ 1,039,989.00	$ 1,024,155.00	98%	Yes
CRP, Inc. San Mateo	13B-5038	$ 428,419.00	$ 187,200.88	$ 614,148.00	$ 305,140.65	$ 454,965.00	$ 186,240.00	$ 196,243.00	$ 72,875.00	$ 1,693,775.00	$ 731,456.51	43%	No
Santa Barbara County	13B-5039	$ 457,447.00	$ 457,447.00	$ 943,019.00	$ 919,949.55	$ 197,549.00	$ 128,115.09	$ 117,157.00	$ 117,157.00	$ 1,715,172.00	$ 1,622,668.64	95%	Yes
Sacred Heart	13B-5040	$ 1,118,551.00	$ 1,093,444.63	$ 834,261.00	$ 443,717.15	$ 1,699,967.00	$ 1,699,967.00	$ 290,238.00	$ 290,238.00	$ 3,943,017.00	$ 3,487,366.78	88%	No

OMB Administrative Requirements, Cost Principles & Audit Standards Training

Sponsored by the California/Nevada Community Action Partnership (Cal/Neva) and presented by Rural Community Assistance Corporation (RCAC)

Newly issued OMB requirements

Who should attend

Finance & management staff from California's Community Services Block Grant (CSBG) eligible entities that seek greater knowledge about the administrative requirements, cost principles and audit standards as established by the Office of Management and Budget (OMB).

What you will learn

This training will provide attendees with a working knowledge of the federal regulatory requirements contained in OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 (formerly located in OMB Circulars A-87, A-102, A-110 (2 CFR, Part 215), A-122 (2 CFR, Part 230), A-133); help them define the major revisions and new regulations identified in each subpart of this new publication. Practical applications of the overriding requirements in these Federal regulations will be discussed. Valuable reference resources will be provided.

OCTOBER TRAINING

Dates: October 28 and 29, 2014

Location: Delhi Community Center Ballroom
505 East Central Avenue, Santa Ana, CA 92707

Time: Tuesday, Oct. 28—8 a.m. for registration and coffee
Class is 8:30 a.m. to 4:30 p.m.

Wednesday, Oct. 29—8 a.m. for coffee and networking
Class is 8:30 a.m. to 4:30 p.m.

NOVEMBER TRAINING

Dates: November 20 and 21, 2014

Location: RCAC (Sal Solinas Conference Room)
3120 Freeboard Drive, West Sacramento, CA 95691

Time: Thursday, Nov. 20—8 a.m. for registration and coffee
Class is 8:30 a.m. to 4:30 p.m.

Friday, Nov. 21—8 a.m. for coffee and networking
Class is 8:30 a.m. to 4:30 p.m.

To Register:

RCAC, ATTN: Trainings
3120 Freeboard Drive, Suite 201
West Sacramento, CA 95691

Phone: (916) 447-9832 ext. 1064
Fax: (916) 372-5636
Email: kstrong@rcac.org

You can also register online at www.rcac.org, under Trainings and Events.

RCAC
www.rcac.org

Helping People. Changing Lives. community Action PARTNERSHIP
AMERICA'S POVERTY FIGHTING NETWORK
California / Nevada Community Action Partnership

This workshop is made possible through a discretionary Training and Technical Assistance contract from the California Department of Community Services and Development (CSD).

Please complete one registration form for each person attending (you may photocopy this form).

Which training do you wish to attend? (Check One) ☐ October 28–29 ☐ November 20–21

Name _____ Title _____

Company/Agency _____

Street Address _____ City/State/Zip _____

Daytime telephone (_____) _____ Email _____

☐ I prefer a vegetarian lunch.

Cost:

$75 per person. The fee includes a workbook, coffee and lunch on both days.

Payment information:

☐ Purchase order no. _____ (copy attached)

☐ Check no. _____ enclosed (make check payable to RCAC)

Credit Card: ☐ Mastercard ☐ Visa ☐ American Express

Card Number _____ Exp. date _____

Name on card _____ Signature _____

Billing Address _____ City/State/Zip _____

Telephone of cardholder (_____) _____

Special Needs:

If you have special needs as defined by the Americans with Disabilities Act, please notify RCAC at (916) 447-9832 ext. 1009 or ext. 1064 by October 11, 2014 so that we may make accommodations for you.

All registrations and payments must be received by Oct. 15, 2014 for the Oct. training and by Nov. 7, 2014 for the Nov. Training. Please register early as space is limited. Confirmations will be sent via email.

WHAT IS ENHANCED LIFELINE FOR TRIBAL LANDS?

Enhanced Lifeline for Tribal lands (Enhanced Lifeline) provides discounted home phone service to qualified households. With the Enhanced Lifeline discounts residents of federally recognized tribal lands get the opportunity to have basic phone service for as little as $1 a month. There's also no charge for deposits for basic phone service or for toll-blocking.

The discounted rate for service connection is $10. Interest-free installment payment plans are available.

HOW DOES IT WORK?

Start saving money by calling your local home phone company and asking for the Enhanced Lifeline discounts. Complete, sign, and submit your application before the due date. Once approved, your Enhanced Lifeline discounts will begin.

Only one discount per household is allowed. Households must choose to get the discount either on a home phone or a cell phone, but not on both. Households cannot get the discount from multiple phone companies.

EVEN IF YOU HAVE BEEN DISCONNECTED.

REMEMBER TO RENEW EACH YEAR

If you are an existing Enhanced Lifeline participant, you must renew each year to continue getting the Enhanced Lifeline discounts. You will be mailed a renewal form in a PINK envelope. Complete, sign, and submit the form before the due date.

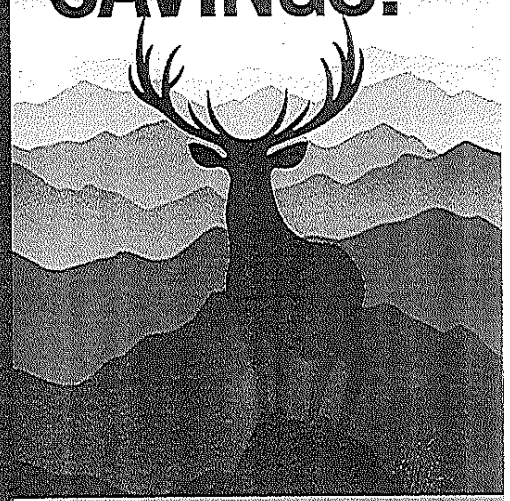
You may also renew online at www.CaliforniaLifeLine.com using the PIN shown on the renewal form. There is no need to set up an account. Just use the PIN and your phone number to log on.

If you do not renew your participation, then you will lose your Enhanced Lifeline discounts and will be charged the regular rates for basic phone service.

If you miss the chance to renew your Enhanced Lifeline discounts, just start the application process over again by calling your local home phone company and asking for the Enhanced Lifeline discounts.

CALIFORNIA LifeLine PROGRAM

"HELLO, SAVINGS!"



CALIFORNIA LifeLine PROGRAM

(866) 272-0357

www.HelloSavings.org

A Program of the California Public Utilities Commission

CPUC-PM

TWO WAYS TO QUALIFY

You can qualify for the Enhanced Lifeline discounts in one of two ways:

1 PROGRAM-BASED

You can qualify if at least one member of your household is enrolled in any of the following public assistance programs:

- Medicaid/Medi-Cal
- Women, Infants and Children Program (WIC)
- Healthy Families Category A
- Low-Income Home Energy Assistance Program (LIHEAP)
- Supplemental Security Income (SSI)
- Federal Public Housing Assistance or Section 8
- CalFresh, Food Stamps or Supplemental Nutrition Assistance Program (SNAP)
- National School Lunch Program (NSLP)
- Temporary Assistance for Needy Families (TANF), also called:
  - California Work Opportunity and Responsibility to Kids (CalWORKS)
  - Stanislaus County Work Opportunity and Responsibility to Kids (StanWORKS)
  - Welfare-to-Work (WTW)
  - Greater Avenues for Independence (GAIN)
- Tribal TANF
- Bureau of Indian Affairs General Assistance
- Head Start Income Eligible (Tribal only)
- Food Distribution Program on Indian Reservations (FDPIR)

2 INCOME-BASED

You may also qualify for the Enhanced Lifeline discounts if your household's total annual gross income is at or less than the annual income limits:

Household Size	Annual Income Limits
1-2 members	$25,500
3 members	$29,700
4 members	$35,900

*Add $6,200 per person for each additional person after four people. Effective from 06/01/14 to 05/31/15.

Documentation is required to show your household income meets the annual income limits if you are qualifying by Income-Based. Acceptable proof:

- Front page only of prior year's state (540, 540A, 540 2EZ, 540NR, or 540X), federal (1040, 1040A, 1040EZ, 1040NR, 1040NR-EZ, 1040SS, or 1040X), or tribal tax return
- Income statements or paycheck stubs for 3 consecutive months within the past twelve months
- Statement of benefits from Social Security, Veterans Administration, retirement/pension, Unemployment Compensation, and/or Workmen's Compensation
- Alimony and/or child support documents
- Other official documents

MAKE THE CALL

Call your local home phone company and ask for the Enhanced Lifeline discounts. You will be sent an application with your personal identification number (PIN) in a PINK envelope. Complete, sign, and submit your application to the California LifeLine Administrator before the due date. You will be required to provide proof of program participation or income documentation. You can submit your application in one of two ways:

1. By Computer – It's easy and fast to apply online at **www.CaliforniaLifeLine.com**. There is no need to set up an account. Just use the PIN and your phone number to log on. Check the box(es) for the program(s) in which you or someone in your household is enrolled. Type in the name of the person enrolled. Then click SUBMIT at the end.

2. By Mail – Mail back your application in the enclosed pre-addressed envelope to the California LifeLine Administrator. Be sure to also include the required documentation.

Please remember it's important that you submit your application before the due date. If you would like more information, call toll-free **866-272-0357**.

FIVE EASY STEPS TO SAVINGS

1. Contact your Local Home Phone Company and ask for the Enhanced Lifeline discounts.
2. Your Local Home Phone Company will review the eligibility rules with you.
3. Your application with your PIN in a PINK envelope will be mailed to you.
4. Submit your application online at **www.CaliforniaLifeLine.com** or by mail with the required documentation.
5. The California LifeLine Administrator will send you a letter in the mail informing you whether or not your application was approved.

LIHEAP Service Providers
Community Resource Project
Draft Minutes
December 10, 2014

The LIHEAP Service Providers (LSP) meeting was called to order by LSP Chair Lynda Timbers at 10:10 AM

1. Roll Call – Attendees in-person or via teleconference:

Amador-Tuolumne Community Action Agency
Campesinos Unidos, Inc.
Central Coast Energy Services
Central Valley Opportunity Center, Inc.
Colusa Glenn Trinity
Community Action Agency of Butte County, Inc.
Community Action Commission of Santa Barbara County
Community Action Marin
Community Action of Ventura County
Community Action Partnership of Kern
Community Action Partnership of Madera County
Community Action Partnership of Orange County
Community Action Partnership of Riverside County
Community Action Partnership of San Bernardino County
Community Energy Services
Community Resource Project, Inc.
Community Services and Employment Training, Inc.
Contra Costa County Community Services Bureau
Economic Opportunity Commission of San Luis Obispo Co., Inc.
El Dorado County Health and Human Services Agency
Fresno County Economic Opportunities Commission
Glenn County Human Resource Agency
Great Northern Corporation
Inyo-Mono Advocates for Community Action, Inc.
Kings Community Action Organization, Inc.
Lassen County EOC
Long Beach Community Services Development Corp
Maravilla Foundation, Inc.
Mariposa County Department of Human Services
Merced County Community Action Agency
Metropolitan Area Advisory Committee
North Coast Energy Services
Pacific Asian Consortium in Employment
Plumas County Community Development Commission
Project Go
Redwood Community Action Agency
Sacred Heart Community Service
San Joaquin County Department of Aging and Community Services
Self-Help Home Improvement Project, Inc.
Spectrum Community Services, Inc.
TEACH, Inc.

2. LSP Elections

Nominations were made at the last LSP meeting. The nominations remained open but no other names were forwarded.

The vote was conducted for the following positions:

Lynda Timbers-Chair

Marisa Semense- Vice Chair

M/S/A To accept the slate of nominations E. Flores/B. Callahan Johnson

3. Approval of October 2, 2014 minutes

M/S/A by B.Ray/S. Stephens-Hepp

4. Director's Report - Linné Stout

Budget

Federal budget – continuing resolution (CR) expires December 11. Congress is working on a spending package, the CRomnibus that is expected to encompass 11 appropriation bills that cover most of the government for the rest of fiscal year 2015. There is the possibility of a short term CR to fund the government for a few days if there isn't enough time to vote on the CRomnibus. The total nationwide funding: CSBG - $674M, LIHEAP - $3.390B and DOE WAP - $193M.

State budget – The Governor's Budget is released around Jan 10th. We will schedule a meeting with members of the Energy Council (EC) to provide highlights of the budget. The only potential impact for us would be the Greenhouse Gas Reduction Fund (GGRF).

CSD's 5 year Strategic Plan Update

The mission of CSD is to reduce poverty for Californians. The strategic plan goals are: Community Focused Delivery, Strategic Investments, Organizational Excellence, Productive Partnerships, and Innovation and Continuous Improvement.

In order to accomplish the mission, CSD will work with poverty research organizations such as the Center for Poverty Research to identify policies and program that lead to a reduction in poverty. As we have previously discussed based on the Supplemental Poverty Measure (SPM), California has the highest rate of poverty in the nation with a significant number of children living in poverty.

Two programs that are mentioned in the effort to improve lives and reduce poverty are the EITC and LIHEAP.

The vision of CSD is to lead the development and coordination of effective and innovative programs that reduce poverty.

The feedback that we received from those of you that were surveyed provided useful information on ways that CSD can improve. I want to have a strong Department and a strong network. I want others to know about the work that we do.

CSD will look at partnering with others, including various state departments that have programs which can assist in the goal of reducing poverty with the focus of working collaboratively to identify effective and innovative programs. We are currently working with Department of Social Services on their Subsidized Employment which could be an opportunity for agencies that are not currently working with their County Welfare Departments.

I want to increase CSD's expertise and knowledge of poverty issues in order to provide useful recommendations to the network.

Next steps are to prioritize projects and develop key performance indicators along with a dashboard to gauge progress. Implementation date for the strategic plan is July 1st

LIHEAP Contract extension request

We received notice that some agencies were interested in requesting a contract extension for the 2014 LIHEAP contract. Because of the agreement with the 3FF committee, we wanted to discuss this request with the EC, and it was decided that CSD would not grant a blanket extension to the contract but would instead honor individual agency extension requests which meet certain criteria for extenuating circumstances. A notice was sent out on Monday with the criteria that could qualify for an extension. The due date to request an extension is December 15th. Kathy Andry will provide additional info on this issue later in the meeting.

CSD/Network Committee Meetings

Because of the need to focus on the implementation of the Low-Income Weatherization Program (LIWP), the LIHEAP Work Group (LWG) has not been meeting on a regular basis, however we have been meeting with the EC on various issues and we will continue to address important issues through the EC. My goal is to be able to reconvene the LWG as soon as possible, but it will probably not be until we can get through the first part of implementing LIWP. As

we work through the implementation of LIWP, there will be policy issues and decisions which will be vetted through the EC and LWG
CSD recently completed negotiations with U.S. Department of Housing and Urban Development on the new Lead Hazard Control Program that will begin early next year.

The drought pilot has been challenging. There was a great need but starting up a new program is always difficult. If the legislation wants to fund this in the future the data collected will be of use.

Comments/Questions:
Fresno EOC had great success with the water pilot. There was much need in this county and they are still receiving requests for services.

CSD will look into the continuation of this pilot.

5. Chair's Report - Lynda Timbers
Announcements from the network:

- The Cal/Neva Conference is in April in San Diego. http://www.cal-neva.org/
- NCAF conference in March in Washington DC
- David Bradley will be in Fresno in January. David and NCAF has been a great advocate for our programs. http://www.ncaf.org/
- NCAP Management & Leadership Conference will be in Dana Point in January (7-9, 2015). http://www.communityactionpartnership.com/
- Denise Harlow is the new CEO of the National CAP Partnership.
- Cal/Neva has a new Executive Director John Heath who will begin in January.
- The workforce programs in Project Go's area have been great to find staff positions. CSD is looking to open up the possibility of extending the workforce piece of the Cap and Trade.
- Details of the FY 2015 Omnibus Appropriations Bill were released late yesterday.
    - Full House is expected to vote on Thursday. Senate may follow on Friday
    - They expect the omnibus to pass, although with a significant number of no votes.
    - Appropriations Levels for 2015:
    - CSBG- frozen at $674 million
    - LIHEAP- $3,390,504,000 (1% below FY 2014)
    - Head Start- Frozen at $8,598,095
    - Weatherization- $193 million with $3 million of the amount for T&TA. This is a $19.1 million increase.

6. Automation Update – Ron Robinette/Jason Wimbley
CSD has set up a new meeting schedule for the vendors and LSPs. The meetings will be held monthly. The next meeting will be the first week of January

and will be announced. These meetings will help agencies with new features and items that will be necessary for their systems.

Provider Website: CSD Provider Website Enhancement.pdf
The look and feel of this site has been enhanced. A password feature is extended to 120 days. CSD's Homepage has a grantee page button.

A technology upgrade is needed. The provider's site will change to a portal. This is to share information with other entities.

Quick Start guides were passed out to the group.

a. Immediate enhancements (password reset, password expire, etc.);
b. Currently working on a fresh new look, cleanup and restructure. Your input will be sought.

Comments/Questions:
Agencies get emails about the admin of their access. How does an agency know who was signed up and where they are able to access?

CSD: CSD followed up with the agencies to update their account. They can run a report possibly every six months.

Can this be sent out again?
CSD: Yes.

CORE Enhancements

The winter release has been sent out. This is an IT upgrade. For CORE it will have a new look and feel. There will be videos to help folks with the systems.

CORE Wx will be the consolidation of CORE and the Bucket.

CORE Books will be integrating EARS into CORE. This will be the reporting process and will begin winter 2015 in the front end reporting.

All of these system integrations will need to sync. CSD is trying to save the agency time for this process.

c. Winter release = platform upgrade to 2013 which is a completely new look and feel. Spring release = remaining parking lot items from the current CORE Priority list posted on the Providers site/CORE tab.
d. Core Wx = Fall 2015
e. Core Books = Winter 2015/16 (EARS/PARC replacement, LSP input will be sought)

Comments/Questions:

Emails from monitors are still being sent, about too many installs etc. There is no time frame or specifics to be able to find the information at the agency level. This wastes time looking for the problem. There must be a way for CSD to give more specifics on the discrepancies and where the problems are so agencies can know where to look.

There is no place in EARS to report CGI post inspections and other line items.

The previous months are always included subsequent emails each quarter. This is also very confusing.

CSD: CSD field staff use PARC reports to evaluate discrepancies and can make this report available to providers. The PARC reports are summary level reports and do not provide details on individual units is not available. Agency can also run monthly EARS reports to check for errors.

Agency commented that CSD works with agencies on pilots. The systems do not recognize these pilots. The identified data is in the Bucket but there is no way to know which program or pilot it came from. Maybe if there could be a way to identify these pilot issues would definitely help.

Smart Forms
The Smart Form will be integrated with the front end systems and will need to be done by the system vendor. It was a manual process to get the form data into the system. Hopefully this can be integrated into the system.

- LIWP Assessment tool (smart form) will be made available and folded into Smart Forms discussed previously, they will not be hosted at CSD.
- Integration with front end systems is responsibility of Vendor/LSPs

Online Utility Assistance Application

Central Coast Energy Services developed an online intake application that is available to the network. CSD will make the codes available on the Contractor's website so agencies can work with their vendors if they decide to use the online application. The online application would be the responsibility of the agency to update and maintain, and will be on the agency's website. The ability to upload documents is already a feature for the applicant to verify their eligibility.

Another webinar will be needed and provided by CCES next month. CSD will announce the webinar to the network.

CSD will discuss the online application at the next vendor/LSP calls next month.

Comments/Questions:
Would a signature be needed?

CSD: The checkbox would be acceptable for utility assistance services. The wet signature may still be necessary under CSD's weatherization programs to

facilitate the collection of utility bill information. CSD will develop a customer consent form that can accompany the application for weatherization assistance.

7. LIWP Program Implementation (Topic as discussed last) – Kathy Andry

Program implementation

CSD met with LIWP providers yesterday and provided key information on LIWP implementation and discussions were held on:

- Agencies planning allocations – allocations were based on 3FF, because of reliance on LIHEAP leveraging CSD analysis indicated that a handful of agencies would have to use more LIHEAP funds then they had so CSD implemented a 4th factor to adjust some of the agencies down so that LIHEAP leveraging is more feasible.
- GHG Quantification - CSD went into depth on the analysis performed on how each measure results in greenhouse gas reduction and how prioritizing measures that provide the most greenhouse gas reduction for the best cost.
- Reporting – They discussed that 17 new fields are being implemented that apply to both LIWP and LIHEAP and the only unique field is the CO reduction.
- Business Plan – each LIWP provider will need to complete a business plan where each provider will evaluate their planning allocations and be able to request reductions and even apply for additional funds. CSD will obtain information on workforce development, outreach and current weatherization operations.
- Ramp-up Contract – provided an overview of the ramp up contract. Each provider will receive $40,000 during ramp up to develop a business plan, IT implementation, community outreach, hiring and workforce development.
- The PowerPoint will be made available on the contractor's website. The business plan will be made available by the end of the week.

Program Guidelines

Guidelines were released on December 1 for public comment.

Guidelines were amended to allow for 80%AMI for solar services to support leveraging of the SASH rebate.

The guidelines can be found on our public website under public notices. For your convenience, a copy of the guidelines is provided in your packet.

Public Hearing

CSD will be holding a public hearing on 12/15 at 10:00 at the Secretary of State's office. To receive comments on the program guidelines.

Comments/Questions

Will CSD be sending out the DAC areas for each agency?

CSD: This map is on the CalEnviro-Screen. The latest Screen is 2.0.

Can the LIHEAP priority plan be modified for both weatherization and cash assistance to add DAC areas?

CSD: Yes.

The smart forms will be available for use by all agencies. This is the assessment form that identifies the measure and which contract it should be charged to.

CSD is working out the specs for the smart forms. The interface may be done by the vendors or CSD will find other options. This form is critical to the quantification of data and GHG savings.

It's also critical for the agencies to be involved in the discussions on integration.

8. California Lifeline Program - Jose Atilio Hernandez

In January 2014, the CPUC approved the low-income wireless program. What the studies have shown is that families were using wireless phones and not landlines.

175 % of poverty is the criteria or if you are eligible for other similar programs as CARE or LIHEAP. The CPUC has not had many people sign-up yet. The offer has a free cell phone and unlimited calls and messaging. Only 120,000 have signed up so far.

The CPUC needs to have funding for outreach and intake.

If a person already has a landline discount they will not be eligible for a cell unless they want to change over to a cell phone. If there is another person in the household they may be eligible for a cell under this program.

Some agencies had lifeline capitation contracts and may be able to sign up people for this as well. This is not under the CPUC at this time. This will be a free service that agencies can provide. This will be for the provider to come to the agency to help outreach to the agency's communities. In order to get paid by Assurance an agency would need at least 50,000 sign ups.

Telscape, Budget, Assurance and Boomerang are the carriers for this offer with Sprint, Verizon, T-Mobil and AT&T.

- http://www.telscape.com/lifeline/lifeline-en.html
- http://www.assurancewireless.com/Public/MorePrograms.aspx?utm_source=BingLocal&utm_medium=cpc&utm_term=assurance_wireless_service_plans&utm_content=Plan_-_General_-_Broadutm_campaign=SF_-_Brand_-_PlansBrandProgram_Info&gclid=CMG47rnazcICFUSNfgodwhIACQ&gclsrc=ds
- http://www.cellularphones4free.com/budget-mobile-lifeline/
- http://boomerang-wireless.com/
- https://www.californialifeline.com/en

Homeless folks will need a social security number but may also need an address. This may be a problem. Jose Hernandez will look into this issue.

There are several ways to enroll people. Applications are sent to Xerox for validation. But there are places that provide services that validate right on the spot. They then receive the cell immediately.

The network can now do some general outreach. Possibly CSD can meet with the 4 vendors and find out if there are options for the network to be involved.

9. Energy Contracts - Kathy Andry/Leslie Campanella

2014 LIHEAP Performance Update

3rd Quarter performance (handout). The following are highlights -

- 2014 third quarter through September 30, 2014 – expended 63% of the grant.
  - WX – 61% expended
  - EHA-16 – 50% expended
  - Heap – 61% expended
  - FT – 65% expended
- 14 agencies met their expenditure goal for the 3rd Quarter
- 13 agencies met their production goals
- Total units/HH served is 160,070 versus projection of 165,439 for a negative difference of 5,369
- Our household report projected 214,231 HH that we would serve.

2014 LIHEAP Contract Extension Request

CSD considered the request received from ACCES on behalf of the network, requesting a three month extension for the 2014 LIHEAP contract. This request was based on a survey done by ACCES.

CSD discussed the extension request during an EC call on December 3rd, where there was agreement that CSD would not grant a blanket extension to the contract but would instead honor an individual agency extension due to extenuating circumstances which were beyond the LSP's control and could have not been reasonably foreseen and acted upon preventing the LSP from meeting expenditure performance.

The following is the regulation pertaining to contract extensions:

22 CCR s 100865
Cal. Admin. Code tit. 22, s 100865

CALIFORNIA CODE OF REGULATIONS
TITLE 22. SOCIAL SECURITY
DIVISION 11. DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

s 100865. Recapture and Redistribution of Unexpended Funds.

(a) Contract time extensions shall be approved when DEO determines that extenuating circumstances occurred beyond the control of the contractor. A contractor shall request the time extension in writing and provide justification for the request.

(b) In the event there are unexpended funds after determinations have been made regarding extensions, DEO shall offer recaptured funds to private nonprofit or public entities which are currently providing services and have met the goals and objectives as established in the existing contract. When distributing these funds, the Department shall give special consideration to the needs of the low-income population.

The following is CSD's definition of extenuating circumstances based on input from the EC:

CSD will only consider extensions for providers due to extenuating circumstances that were beyond the LSP control and could have not been reasonable foreseen and acted upon preventing the LSP from meeting expenditure performance.

What constitutes "extenuating circumstances" will vary from case to case, depending on the specific facts. CSD will consider extensions based on one or more of the following conditions:

- Natural disaster that prevented LSP from providing services;
- A prolonged extreme weather event that required redirection of LSP resources
- Local building or ordinance requirements that caused significant delay in services
- Federal or state requirement that cause significant challenges to implement program and caused delays in program implementation (Example: Davis-Bacon requirements).
- Staff turnover impacting production
- Inability to fully expend due to significant increases in funding due to timing and staffing considerations (Example: staffing up for a significant influx of funds)
- LSP's taking on a new service territory

In addition, just for 2014, CSD will consider extensions based on delay in transferring of funds that caused delay in services. This issue will be resolved in 2015 since all funding transfers will be handled through budget modification.

If you are interested in a two month extension to the 2014 LIHEAP contract, and believe that your agency meets, at least, one of the conditions listed above, you will need to submit a request to CSD by Close of Business on Monday, December 15th. This request will need to describe the extenuating circumstance and how it caused you to not meet your performance goals; the amount of time you are requesting; and specifically HOW your agency will meet the new performance goals under the extension.

In order to accommodate the extension and still be able to close out the contract and make the carryover funds available for redistribution, timely, CSD will only grant extensions for a period of two months and shorten the close out timeframe from 90 days to 45 days.

Comments:
Can CSD help with the mobile home final permit process?

CSD: CSD will reach out to Housing and Community Development (HCD) to see if there are ways to facilitate the permitting process.

This will help agencies with this year's contracts.

CSD: CSD clarified that the 13 month contract term was to help finish up projects in process. The 12 month period should be used to expend the grant. The last month should not be used for production.

2015 LIHEAP Program

Final program changes
To access the 2015 LIHEAP Contract webinar and Q&A document click the link below:

Webinars, Etc.

The following represent key changes that resulted from network comments:

- WX only contractors with separate contracts – admin was calculated based on the amount for weatherization. All admin costs are reported in EHA-16 budget. Recently receive a request to clarify this so that when audited, it is understood that admin costs for all LIHEAP services are charged to EHA-16.

- Provider requested that CSD allow for a phase in period for any significant changes. CSD modified language and will afford provider reasonable opportunity and sufficient time period in which to phase-in the mandated change.

- Contractor questioned CSD approval process for Agency Conflict of Interest policy. CSD modified language to clarify that CSD will not approve policies but rather ensure the LSP has a policy and is

following them.

- Providers questioned the need for board approval on every subcontracting agreement. CSD modified language to state that the provider can delegate signing authority for the approval of subcontracts to their executive officer or designated authority.

- Provider was concerned with language that stated that CSD will review the detailed data before expenditures are approved. CSD modified to state that they must receive the detailed data in order to process the expenditure reports.

- Provider was concerned with the requirement that when leveraging with non-federal programs that the measure installed under the non-federal program must meet CSD standards. CSD modified the language to clarify that this requirement is only applicable when Contractor chooses to leverage nonfederal weatherization measures.

- Provider requested that CSD assume the role of collecting from property owners who raise rents due to enhancements from weatherization. CSD agreed and modified language.

- Provider requested that CSD change the standard for refrigerator replacement based on age. CSD agrees and is in the process of updating the standard.

Comments/Questions:
Will the measure be metered still if damaged?

CSD: Yes

Please change Downtime to Crew Other Labor.

CSD: CSD will consider the change.

Is the form #43 being revised?

CSD: Yes with some new language about utility data access.

CSD wanted to know if the contract is understandable, format etc.

LSP: Yes the smaller format is appreciated. There is still some confusion since it was a new form. But agencies are figuring it out.

EARS
On November 25, 2014 CSD released the EARS reports to the vendors. On December 3, CSD released relevant documents to implement utility assistance.

It is our understanding that vendors will be able to have the local systems up and running by January 1.

Eligibility Guide
The Eligibility Guide has been updated and the startup package should be complete and ready to send out within the next couple of weeks. Staff will conduct a webinar at the beginning of the contract year.

What's New in the Eligibility Guide:

- Appeals- Minor updates to the language, examples have been included and the sample letter has been updated
- Countable and Non-Countable Income Chart- Updated to include Advance Pay information
- Eligibility Criteria- Department of Energy (DOE) language has been added regarding age eligibility for children
- Forms- The CSD 43 Form was updated to include consent language regarding sharing information contained on the application

On Wednesday, December 3, 2014, the vendors were emailed documents to get the front end systems created for the 2015 LIHEAP contract. Those documents included:

- 2015 Income Guidelines for LIHEAP/DOE
- 2015 LIHEAP county base benefit amounts
- 2015 Household HEAP and Fast Track Base Benefit Amounts
- Federal Poverty document

State LIHEAP grantees are now required to collect and report on the new performance measures related to home energy burden and continuity of home energy service. These new measures will be considered developmental while grantees build the capacity to collect the necessary data. States that can report the new data for FY 2015 should do so. All states will be required to report the data for FY 2016. CSD has assigned Energy Help desk staff to participate in the ongoing webinars to learn of the new requirements and data collection methods.

Comments/Questions:

Not having the eligibility guide accessible, agencies cannot send out the application in January. Can this be sent out sooner? This also needs to be available for incorporation into the agency's systems. The vendors will need this ASAP.

CSD: CSD will work on getting the eligibility guide out sooner.

Can the old intake form be used, will this be acceptable?

CSD: There is a provision that if consent is given, then the time period is needed. If there is no time given then it is 30 days that is too short of a time to be useful. CSD needs this language on the intake form. So if using the old form

this should be added. The CPUC provision also endorses the consent. The language needs to be at least three years.

Once the consent is for three years the problem will be fixed. The old intake form will still be honored until the new form comes out. If the old income guidelines are on an application this will also be honored until the new guidelines come out.

CSD will try and get the revised intake form out ASAP.

Note: On December 10, CSD sent the revised intake form and the income guidelines out to providers. CSD also made this information available to the vendors.

Small agencies:
As you may recall, the 3FF Committee proposed a recommendation that was adopted earlier this year that would create a supplemental funding criteria for agencies that would receive less than $500,000 in their base allocation as determined by the straight 3FF, and reduced funding would not allow the agency to provide all the basic provisions of LIHEAP Services.

CSD has developed a simple application to apply for funds. The application will be released to the 3FF committee and small agencies shortly for review and comment. They are targeting a conference call/webinar with the smalls on Dec. 17.

PGE Pledge Process Update

On November 5th CSD released a survey to all LSPs regarding the PG&E pledge process. The following is the results of the survey –

- Responses- 20 responses were received; 17 were from providers with PG&E clients; 3 were from non-PG&E service areas
- Issues- of the 17 providers with PG&E clients, 14 identified no concerns/barriers with the current process of submitting pledges. However, 3 providers indicated pledging over the phone was time consuming especially if are a large volume of pledges.
- Preferred enhancements- All providers agree that having the ability to pledge on multiple accounts at once would be ideal.
- CSD received a variety of responses regarding building a process to suit the agency and CSDs needs. However, moving forward the recommendation from CSD to PG&E will be to:
  - Allow the providers the ability to pledge on multiple accounts at once
  - Provide an immediate email confirmation of pledges back to the program

2013/2014 DOE Program Update

WIS/Field Guide

CSD will be releasing the Field Guide for review and comments. The Guide will be released in two batches and each section will be sent out separately. Batch 1 is scheduled for release December 16, and Batch 2 is scheduled for release by January 13.

On February 17, the WIS Committee will meet to discuss comments. The Field Guide is projected to be finalized by March 30.

Inspector Training
Per DOE all inspectors must be IREC certified as Quality Control Inspectors beginning July 1, 2015.

California does not have any accredited training providers so CSD is contacting potential trainers in other states. What we have learned is that the Accredited Trainer needs:

- Access to training facility. CSD is in contact with both Stockton and LA Tech.
- Homes will need to be lined up to provide field training. CSD will need assistance from LSPs to identify homes.
- 1 instructor per 6 students (ratio 1:6)
- Other logistical support

CSD is evaluating options to assist agencies who may not have an IREC Certified QC Inspector. One option is for CSD to issue an RFQ to provide agencies with information regarding IREC certified inspectors who they may hire to perform local agency post-inspections.

CSD will assume the cost of the training and agencies will be responsible for travel and per diem.

Comments/Questions:
If an agency does not have an inspector, the person used will need the training?

CSD: Yes

CSD: The WIS is finalized and hopefully out by March.

Has anyone from CSD or RHA taken the test and passed yet?

CSD: No not yet. There is a 60% pass rate for the classroom test.

10. CPUC Collaboration – Ronn Kaiser
The possible goal, what the future will look like, is having effective coordination that will in general work better for low-income households.

This may not be reality though. The coordination of the current WX programs has not been so smooth. It has been an extended process to get anything done. There is a lot of good conversation but nothing is done to make the process better.

The current CPUC process has asked that the coordination work better and to develop a plan. As indicated in the MOU, the data sharing is critical for the process. A database would be a good way to get this done but how will this be coordinated. Wisconsin has a statewide database where clients, the utilities, agencies and others can access the data.

In phase 2 the utilities have submitted their applications. The CPUC had an attachment "Q" that states the need to coordinate with CSD and how will this get done. The CPUC did not get the instruction for this coordination into the application instructions.

The smaller utilities have worked with CSD on pilots for data sharing. This would need the municipal utilities as well as the IOUs. There has been a lot of information shared on the process to get this done. A pilot with two CSD agencies and the utilities and the SWH pilot have worked in conjunction with the IOUs.

CSD's Question:

What would the agencies need to better coordinate with the IOUs?

Please send suggestions and questions to Kathy Andry or Ronn Kaiser.

11. Program Monitoring Update – Kristen Hart

New and old monitoring staff introduced: There have been many new hires for the field representatives. For a list of field representatives, click on the link below:

Updated October 2014 Energy Field Reps Agency Listing.docx

On-site Monitoring Season will begin middle of January and run through June 30th. A monitoring webinar was held and can be found on the Provider's website at:

http://providers.csd.ca.gov/Energy/Training/Webinars,Etc.aspx

Most of the visits have been scheduled-if you haven't heard from your Field Representative (FR), you will shortly.

The monitoring scope is similar to the last few years. Your field representative will review the following areas for compliance:

a. Administrative Review-to include:
   i. Board meetings
   ii. Vehicle Insurance
   iii. Separation of Duties
   iv. Conflict of Interest
   v. Inventory management
   vi. Record Retention

vii. Service Territory review (for those with multiple service territories)
viii. Complaint Management
ix. Procurement P & P's
x. Board questionnaire
xi. Usage Fees-vehicles
xii. Needs Assessments-related to Outreach

b. Subcontractor Oversight-self explanatory
   i. This is to ensure that any agencies with subcontractors are monitoring their subs in compliance with the contract requirements

c. Fiscal & Performance Review
   i. Cost Allocation Plans
   ii. Billing Methodology/process
   iii. Line Item reconciliation-to include the Automation supplemental line
   iv. Expenditure status & benchmarks
   v. WCA
   vi. Aged payable reports

d. Programmatic Review
   i. Follow up on any prior monitoring issues
   ii. Self-certification of zero income
   iii. Client File Review
   iv. Diagnostic Testing
   v. Rewx
   vi. SHPO

Comments:

It was brought up that a closed contract is hard to have monitored. CSD has a requirement for DOE to have each contract monitored. All of the visits need to be completed by June 30th. They understand that this causes some problems but it must be done for DOE. Once the contract is closed it can be amended if not officially closed. After that adjustments cannot be made.

Would a closed LIHEAP contract then not be monitored?

CSD: CSD has more control over LIHEAP and can try and get them completed before they close.

Can there be separate monitoring visits for each contract?

CSD: Hopefully there is not a need to have more than one visit.

From the scope which is detailed and very good, can the documents that will need to be filled out be sent out ahead of the visit? The separation of duties and the admin documentation.

CSD: Yes, they can be placed on the website.

The webinar on the monitoring was very good and appreciated.

CSD: There will be a monitoring webinar at end of the monitoring season as well.

12. Announcements

- RFP will be released for the new inspection contractor.
- Next Quarterly LSP Meeting – March 10, 2015
- ACCES Roundtable Session – March 11, 2015

- **Retirees: We all wish the following important people from our network the very best.**
  - Mike Culbertson will retire December 15th.
  - David Keller retired in June 2014
  - Godwin Aimua will also be retiring in February 2015.

Adjournment: 2:07 PM

NOTICE OF PUBLIC HEARING

LOW-INCOME WEATHERIZATION PROGRAM GUIDELINES

The State of California's Department of Community Services and Development (CSD) will conduct a public hearing to receive comments on the draft Low-Income Weatherization Program Guidelines a program funded from the State of California's Greenhouse Gas Reduction Funds. The hearing is scheduled for Monday, December 15, 2014, at 10:00 a.m., at:

California Secretary of State
Office Building Auditorium
1500 11th Street
Sacramento, CA 95814

Persons presenting oral testimony are requested to provide a written copy of their presentation at the conclusion of their testimony. If unable to attend, send written comments to the Department of Community Services and Development, 2389 Gateway Oaks Drive, Ste. 100, Sacramento, CA 95833, Attention: Crystal Alvarez, Program Analyst. You may also submit comments via fax at (916) 263-1406. Written or faxed comments will be accepted until 5:00 p.m., Monday, December 15, 2014. A copy of the draft Low-Income Weatherization Program Guidelines may be obtained on CSD's website at www.csd.ca.gov .

Notice

American with Disabilities Act

Individuals who, because of a disability, need special assistance to attend or participate in this hearing, may request assistance by contacting Rebecca Smith at (916) 576-7130. Requests should be made five working days in advance whenever possible.

PY 2015 Income Guidelines

HH	LIHEAP Monthly Income 60% SMI	DOE Monthly Income 200% Federal Poverty
1	$1,996.89	$1,945.00
2	$2,611.31	$2,621.67
3	$3,225.74	$3,298.33
4	$3,840.17	$3,975.00
5	$4,454.59	$4,651.67
6	$5,069.02	$5,328.33
7	$5,184.23	$6,005.00
8	$5,299.43	$6,681.67
9	$5,414.64	$7,358.33
10	$5,529.84	$8,035.00
11	$5,645.05	$8,711.67
12	$5,760.25	$9,388.33
13	$5,875.46	$10,065.00
14	$5,990.66	$10,741.67
15	$6,105.87	$11,418.33
16	$6,221.07	$12,095.00
17	$6,336.28	$12,771.67
18	$6,451.48	$13,448.33
19	$6,566.69	$14,125.00
20	$6,681.89	$14,801.67
21	$6,797.10	$15,478.33
22	$6,912.30	$16,155.00
23	$7,027.51	$16,831.67
24	$7,142.71	$17,508.33
25	$7,257.92	$18,185.00

Department of Community Services and Development
Energy Intake Form
CSD 43 (12/2014)

							0	0	0	0			

Priority Points:		A.C.C.	
Job Control Code			

Agency:	Intake Initials:	Intake Date:	Eligibility Cert Date:

First Name	Middle Initial	Last Name	Date of Birth M M D D Y Y
Mailing Address ☐ Check if same as service address			Unit Number
Mailing City	Mailing County	Mailing State	Mailing ZIP Code
Service Address (Do not use P.O. Box)			Unit Number
Service City	Service County	Service State CA	Service ZIP Code
Social Security Number (SSN):	Telephone Number: ( )		☐ Message Only?

PEOPLE LIVING IN HOUSEHOLD

Enter the **total number of people** living in the household, including the applicant -->

Enter the number of people who are:

2 years old or younger	
Ages 3 - 5 years	
Ages 6 - 18 years	
Ages 19 - 59 (Adult)	
Ages 60 or older (Elderly)	
Disabled	
Native American	
Limited-English Speaking	
Seasonal or Migrant Farmworker	

INCOME

Enter the **total number** of household members who receive income -->

Enter total gross monthly income for all people living in the household:

TANF	$
SSI/SSP	$
SSA/SSDI	$
Paycheck(s)	$
Interest	$
Pension	$
Other	$
TOTAL INCOME	$

UTILITY BILL DISCOUNT

You may be eligible for a discount on your monthly utility bill! Contact your local utility company and ask about reduced rate programs.

Which utility company do you want paid?

Account Number:

Name of customer on the utility bill:

☐ Check here if your utilities are included in rent or sub-metered.

☐ Check here if utilities are all electric

*** Questions 1-5 (below) are MANDATORY fields.**

1. What is the main fuel you use to HEAT your home? (*SELECT ONLY ONE*)

☐ Natural Gas ☐ Propane ☐ Wood ☐ Other Fuel
☐ Electricity ☐ Fuel Oil ☐ Kerosene ☐ Unknown

2. In addition to the main heating fuel you listed in Question 1, do you ever use any of the following to HEAT your home (you can check more than one):

☐ Electricity (such as space heaters) ☐ Wood (in a fireplace or wood stove) ☐ N/A

3. If you chose NATURAL GAS or ELECTRICITY in Question 1:

Do you currently have a past due notice?	☐ YES	☐ NO	☐ N/A
Is your gas or electricity currently shut off / disconnected?	☐ YES	☐ NO	☐ N/A

4. If you chose PROPANE, FUEL OIL, WOOD, KEROSENE or OTHER FUEL in Question 1:

Approximately how many days until you run out of fuel completely .....(*enter number of days*) :			☐ N/A
Are you currently out of fuel?	☐ YES	☐ NO	☐ N/A

5. Are you or someone in your household CURRENTLY receiving CalFresh (Food Stamps)? ☐ YES ☐ NO

The information on this application will be used to determine and verify my eligibility for assistance. My signature gives consent for this information to be shared with other offices of the state and federal governments, their designated subcontractors, my utility company(ies), and for my utility company(ies) to share my account information with the Department of Community Services and Development (CSD), its designated subcontractors, and other offices of the state and federal governments for the purpose of providing services to me and to coordinate, improve and reduce the costs of services under these programs. I further authorize my utility company(ies) to provide my energy consumption data to CSD to the extent necessary for CSD to comply with the program reporting requirements of the federal government. I understand that this consent shall remain in effect for three years from the date signed unless otherwise revoked by me in writing. I understand that if my application for LIHEAP/DOE benefits or services is denied, or if I receive untimely response or unsatisfactory performance, I may initiate a written appeal with the local service provider and my appeal shall be reviewed no later than 15 days after the appeal is received. If I am not satisfied with the local service provider's decision I may then appeal to the Department of Community Services and Development pursuant to Title 22, California Code of Regulations section 100805. If applicable, I hereby authorize installation of weatherization measures to my residence at no cost to me. I declare, under penalty of perjury, that the information on this application is true, correct, and that the funds received will be used solely for the purpose of paying my energy costs.

Applicant's Signature *Date* *Witness' Signature (if signed with an X)*

AGENCY NAME: Community Services and Development (CSD). UNIT RESPONSIBLE FOR MAINTENANCE: Home Energy Assistance Program (HEAP). AUTHORITY: Government Code Section 16367.6 (a) Names CSD as the agency responsible for managing HEAP. PURPOSE: The information you provide will be used to decide if you are eligible for a LIHEAP payment and/or weatherization services. GIVING INFORMATION: This program is voluntary. If you choose to apply for assistance, you must give all required information. OTHER INFORMATION: CSD uses statistical definitions from the annual update of the Department of Health and Human Services' State Median Income, Federal Income Poverty Guidelines, to determine program eligibility. During application processing, CSD's designated subcontractor may need to ask you for more information to decide your eligibility for either or both programs. ACCESS: CSD's designated subcontractor will keep your completed application and other information, if used, to determine your eligibility. You have the right to access all records holding information about you. CSD does not discriminate in the provision of services on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, sex, age, or sexual orientation.

Applicant: Do not fill out the information below. This section is for official use only.

Cash Assistance being provided under which program --> ☐ HEAP ☐ Fast Track ☐ Supplement $_____ Total Benefit $_____

☐ HEAP WPO ☐ ECIP WPO Referral --> ☐ Home referred for weatherization ☐ Referred for ECIP HCS ☐ Home already weatherized

Weatherization being billed under which program --> ☐ DOE ☐ LIHEAP WX ☐ ECIP HCS

Type of Dwelling:
☐ SFD - Owner, 1 unit
☐ SFD - Rental, 1 unit
☐ MFD - Owner, 2 - 4 units
☐ MFD - Rental, 2 - 4 units
☐ MFD - Owner, 5 or more units
☐ MFD - Rental, 5 or more units
☐ Mobile Home - Owner
☐ Mobile Home - Rental
☐ Shelter: # of units _____
Total # of residents:_____
☐ Unoccupied MFD: 2 - 4 units
☐ Unoccupied MFD: > 5 units

Energy Cost = $ Energy Burden = %

Agency Defined Priorities: ☐ Medically Needy ☐ Frail Elderly ☐ Severe Financial Hardship ☐ Hard To Reach ☐ Priority Offsets

Department of Community Services and Development
Energy Intake Form
CSD 43 (12/2014)

									0	0	0	0			

Priority Points:		A.C.C.	
Job Control Code			

Agency:	Intake Initials:	Intake Date:	Eligibility Cert Date:

Nombre	Inicial	Apellido	Fecha de Nacimiento M M D D Y Y

Domicilio Postal ☐ Marque si es igual que la direccion del servicio			Número de Unidad
Ciudad (de su domicilio postal)	Condado	Estado	Código Postal
Domicilio en que se recibe el servicio de energia (No use Apartado Postal - P.O. Box)			Número de Unidad
Ciudad (en que se recibe el servicio)	Condado	Estado CA	Código Postal
Número de Seguro Social (SSN):		Número de Teléfono: ( )	☐ Mensaje

PERSONAS VIVIENDO EN EL HOGAR

Incluyendo al solicitante, escriba el número de personas que viven en su hogar --> :

Escriba el número de personas en su hogar:

De 2 años o menores	
De 3 años a 5 años	
De 6 años a 18 años	
De 19 años a 59 años	
De 60 años o mayores	
Incapacitados	
Americanos Nativos	
Limited-English Speaking	
Campesinos Temporales/Migratorios	

INGRESOS

Escriba el número de personas en el hogar que reciben ingresos -->:

Escriba el total del ingreso mensual, en bruto, de todas las personas que viven en su hogar:

TANF	$
SSI/SSP	$
SSA/SSDI	$
Sueldo(s)	$
Interés	$
Pensión	$
Otros Ingresos	$
INGRESOS TOTAL (en bruto)	$

DESCUENTO DE UTILIDADES

Usted también puede ser elegible para un descuento en su factura mensual! Comuníquese con su compañía de servicios y pregunta sobre los programas de tarifa reducida.

Cuál compañía de servicios de energia le gustaría que se pague?

Número de Cuenta:

Nombre del cliente (como aparece en la factura):

☐ Marque aqui si sus servicios están incluidos en la renta o sub-medido ☐ Marque aqui si sus utilidades es solo electricidad

* Preguntas 1-5 (abajo) son obligatorios.

1. ¿Cuál es el principal combustible que se utiliza para calentar su casa? (SELECCIONE SÓLO UNA)

☐ Gas Natural ☐ Propano ☐ Madera ☐ Otro combustible
☐ Electricidad ☐ Aceite Combustible ☐ Queroseno ☐ No lo se

2. Además de la principal combustible para calefacción que figuran en la pregunta 1, ¿usas alguno de los siguientes para CALENTAR su hogar (puede marcar más de una):

☐ Electridad (como calendor de espacio) ☐ Madera (en un chimenea o estufa de madera) ☐ N/A

3. Si eligió gas natural o electricidad en la Pregunta 1:

¿Tiene actualmente un aviso de pago atrasado?	☐ SI	☐ NO	☐ N/A
¿Es el gas o la electricidad actualmente apagado o desconectado?	☐ SI	☐ NO	☐ N/A

4. Si elegiste propano, aceite combustible, madera o otra combustible en la pregunta 1:

Aproximadamente cuántos días hasta que se quede sin combustible completamente (Introduzca el número de			☐ N/A
¿Está actualmente fuera de combustible?	☐ SI	☐ NO	☐ N/A

5. ¿Usted o alguien en su casa ACTUALMENTE recibe CalFresh (estampillas de comida)? ☐ SI ☐ NO

La información en esta solicitud será usada para determinar y verificar mi elegibilidad para recibir ayuda. Con mi firma doy autorización para que esta información sea compartida con otras oficinas del Gobierno Estatal y Federal, subcontratistas designados por ellos, con la(s) compañía(s), que me ofrece(n) servicio(s) de energía y para que la(s) compañía(s) que me ofrece(n) servicio(s) de energía comparta(n) información con otras oficinas del Gobierno Estatal y Federal con el fin de proporcionar servicios a mí y a coordinar, mejorar y reducir los costes de servicios bajo estos programas. Además autorizo a mi compañía (s) utilidad para proporcionar mis datos de consumo de energía a CSD en la medida necesaria para CSD para cumplir con el programa informando los requisitos del gobierno federal. Entiendo que este consentimiento permanecerá en vigor durante tres años a partir de la fecha de la firma, a menos que sea revocada por mí por escrito. Entiendo que si mi aplicación para beneficios o servicios de LIHEAP/DOE se niega, o si recibo una respuesta retrasada, puedo iniciar una apelación escrita con el proveedor de servicios local y mi apelación se revisará no mas que 15 días después de que la apelación se solicita. Si yo no estoy satisfecho con la decisión del proveedor de servicios entonces puedo apelar al Departamento de Servicios y Desarrollo de la Comunidad (CSD) conforme al Titular 22, Código de California sección 100805. En caso de ser elegible, doy permiso para la instalación de material aislante en mi residencia sin costo alguno para mí. Declaro, bajo pena de perjurio, que la información declarada en esta solicitud es correcta y verdadera, y que los fondos recibidos serán usados únicamente con el objetivo de pagar mis gastos de consumo de energía.

Firma del Solicitante *Fecha* *Firma del Testigo (si firmó con una X)*

NOMBRE DE LA AGENCIA: Departamento de Servicios y Desarrollo de la Comunidad (CSD). UNIDAD RESPONSABLE DE MANTENIMIENTO: Programa de Ayuda para la Energía del Hogar (HEAP). AUTORIDAD: El código gubernamental, Sección 16367.6 (a) designa a CSD como la agencia responsable de la administración de HEAP. OBJETIVO: La información que proporcione se usará para determinar si usted reune los requisitos para recibir el pago de LIHEAP, y/o servicios de weatherization. PROPORCIONANDO INFORMACION: La participación en este programa es voluntaria. Si decide solicitar esta ayuda, debe proporcionar toda la información requerida. INFORMACION ADICIONAL: CSD utiliza definiciones estadísticas de la autualización anual de las Pautas de Ingresos Federales de Pobreza del Departamento de Salud y Servicios Humanos para determinar la aceptación de una persona en los programas. Durante el trámite de su solicitud, es posible que el subcontratista designado por CSD necesite pedirle información adicional para determinar si se le puede aceptar en estos u otros programas. ACCESO: El subcontratista designado por CSD se quedará con su solicitud, y otra información, si se usó para determinar su eligibilidad. Usted tiene derecho de acceso a todos los expedientes que contengan información sobre usted. CSD no discrimina en los servicios que ofrece debido a raza, religión, credo, color, origen de nacionalidad, incapacidad física, incapacidad mental, condición médica, estado marital, sexo, edad, o orientación sexual.

Solicitante: No complete la siguiente información. Esta sección es sólo para uso oficial.

Cash Assistance being provided under which program --> ☐ HEAP ☐ Fast Track ☐ Supplement $_____ Total Benefit $_____

☐ HEAP WPO ☐ ECIP WPO Referral --> ☐ Home refered for weatherization ☐ Referred for ECIP HCS ☐ Home already weatherized

Weatherization being billed under which program --> ☐ DOE ☐ LIHEAP WX ☐ ECIP HCS

Type of Dwelling:
☐ SFD - Owner, 1 unit ☐ MFD - Owner, 2 - 4 units ☐ Mobile Home - Owner ☐ Shelter: # of units _____ ☐ Unoccupied MFD: 2 - 4 units
☐ SFD - Rental, 1 unit ☐ MFD - Rental, 2 - 4 units ☐ Mobile Home - Rental Total # of residents:_____ ☐ Unoccupied MFD: > 5 units
☐ MFD - Owner, 5 or more units
☐ MFD - Rental, 5 or more units

Energy Cost = $ Energy Burden = %

Agency Defined Priorities: ☐ Medically Needy ☐ Frail Elderly ☐ Severe Financial Hardship ☐ Hard To Reach ☐ Priority Offsets

October 29, 2014

2014 LIHEAP Statewide Expenditures 3rd Quarter 2014

#	Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	% Projected Expenditure	% Difference
1	Spectrum Comm Svc	14B-5001	$ 1,085,173.00	$ 838,369.83	$ 1,901,057.00	$ 985,326.98	$ 1,013,687.00	$ 402,711.00	$ 594,116.00	$ 356,716.73	$ 4,594,033.00	$ 2,673,123.92	58%	73%	-15%
2	Amador-Tuolumne CAA	14B-5002	$ 528,913.00	$ 361,326.75	$ 580,691.00	$ 286,187.88	$ 228,588.00	$ 138,408.00	$ 282,658.00	$ 157,567.00	$ 1,600,850.00	$ 941,487.61	59%	60%	-1%
3	Butte Co. CAA	14B-5003	$ 681,649.00	$ 296,341.00	$ 1,750,569.00	$ 332,379.28	$ 213,688.00	$ 56,834.00	$ 384,635.00	$ 222,651.00	$ 3,030,539.00	$ 908,205.28	30%	60%	-30%
4	Glenn Co Human Resou	14B-5004	$ 265,999.00	$ 192,691.98	$ 455,488.00	$ 245,511.98	$ 124,257.00	$ 101,898.94	$ 171,572.00	$ 126,493.00	$ 1,017,296.00	$ 666,583.90	66%	72%	-7%
5	Contra Costa	14B-5005	$ 921,106.00	$ 763,615.12	$ 915,417.00	$ 609,546.18	$ 789,389.00	$ 534,988.27	$ 1,274,953.00	$ 818,412.71	$ 3,880,845.00	$ 2,726,560.28	70%	69%	1%
6	Redwood CAA (Del Norte)	14B-5006	$ 273,991.00	$ 174,810.49	$ 381,164.00	$ 138,980.39	$ 151,649.00	$ 83,981.43	$ 108,321.00	$ 64,348.20	$ 915,125.00	$ 462,118.51	50%	60%	-10%
7	El Dorado Co	14B-5007	$ 697,498.00	$ 329,568.04	$ 1,086,243.00	$ 349,850.20	$ 570,503.00	$ 180,800.00	$ 49,609.00	$ 12,642.00	$ 2,403,853.00	$ 872,860.24	36%	65%	-29%
8	Fresno Co. EOC	14B-5008	$ 2,125,189.00	$ 1,303,691.64	$ 1,980,834.00	$ 961,696.80	$ 2,789,440.00	$ 2,079,723.91	$ 2,079,402.00	$ 1,563,669.40	$ 8,974,865.00	$ 5,908,781.75	66%	65%	1%
9	Redwood CAA (Humboldt)	14B-5009	$ 826,071.00	$ 516,111.51	$ 954,608.00	$ 372,406.55	$ 374,052.00	$ 264,921.23	$ 267,181.00	$ 171,724.00	$ 2,421,912.00	$ 1,325,163.29	55%	62%	-8%
10	Campesinos Unidos, Inc.	14B-5010	$ 2,365,508.00	$ 955,082.79	$ 2,102,609.00	$ 811,099.58	$ 843,558.00	$ 341,798.18	$ 1,900,981.00	$ 1,154,920.75	$ 7,302,656.00	$ 3,262,901.30	45%	67%	-22%
11	IMACA	14B-5011	$ 212,390.00	$ 39,653.00	$ 562,941.00	$ 148,296.91	$ 17,573.00	$ 2,540.00	$ 8,787.00	$ 3,750.00	$ 801,691.00	$ 194,239.91	24%	65%	-41%
12	CAP of Kern	14B-5012	$ 1,950,088.00	$ 1,161,117.53	$ 2,104,748.00	$ 784,432.78	$ 1,849,633.00	$ 1,023,081.90	$ 2,312,040.00	$ 1,243,616.27	$ 8,216,509.00	$ 4,212,248.48	51%	60%	-9%
13	Kings CAO, Inc.	14B-5013	$ 262,654.00	$ 199,734.13	$ 361,560.00	$ 138,388.07	$ 376,088.00	$ 228,052.23	$ 125,362.00	$ 125,113.81	$ 1,125,664.00	$ 691,288.24	61%	63%	-2%
14	North Coast Energy Svc	14B-5014	$ 2,318,839.00	$ 1,800,601.11	$ 2,355,862.00	$ 1,462,462.18	$ 1,767,479.00	$ 1,083,655.78	$ 2,121,386.00	$ 1,335,018.00	$ 8,563,566.00	$ 5,681,737.07	66%	70%	-4%
15	Lassen Econ.Dev.Corp	14B-5015	$ 141,897.00	$ 91,300.54	$ 434,093.00	$ 199,116.27	$ 16,737.00	$ 17,012.00	$ -	$ -	$ 592,727.00	$ 307,428.81	52%	60%	-8%
16	CES	N/A	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	0%	0%	0%
17	Maravilla Foundation	14B-5017	$ 3,281,073.00	$ 2,048,499.32	$ 5,022,840.00	$ 3,240,313.70	$ 5,100,056.00	$ 3,168,882.04	$ 420,000.00	$ 239,845.57	$ 13,823,969.00	$ 8,697,540.63	63%	60%	3%
18	PACE	14B-5018	$ 3,968,309.00	$ 1,371,376.43	$ 4,719,205.00	$ 1,288,431.51	$ 2,915,752.00	$ 1,801,300.87	$ 1,457,874.00	$ 952,930.48	$ 13,061,140.00	$ 5,394,039.29	41%	60%	-19%
19	Long Beach CAP	14B-5019	$ 2,884,252.00	$ 2,101,285.23	$ 1,674,840.00	$ 1,031,423.00	$ 2,596,508.00	$ 1,704,538.16	$ 2,596,510.00	$ 1,513,549.43	$ 9,752,110.00	$ 6,350,795.82	65%	68%	-3%
20	CAP of Madera County, Inc.	14B-5020	$ 285,477.00	$ 224,415.07	$ 288,596.00	$ 189,178.15	$ 353,071.00	$ 352,930.20	$ 271,594.00	$ 260,809.00	$ 1,198,738.00	$ 1,027,332.42	86%	80%	6%
21	Comm Action Marin	14B-5021	$ 187,504.00	$ 65,865.69	$ 208,170.00	$ 115,025.08	$ 218,343.00	$ 135,660.00	$ 179,907.00	$ 123,094.00	$ 793,924.00	$ 439,644.77	55%	68%	-12%
22	Mariposa County HSD	14B-5022	$ 135,138.00	$ 64,329.56	$ 274,578.00	$ 224,281.98	$ 19,950.00	$ 19,915.51	$ 75,422.00	$ 76,080.00	$ 505,086.00	$ 384,607.05	76%	70%	6%
23	Merced Co CAA	14B-5023	$ 532,956.00	$ 458,108.13	$ 567,822.00	$ 519,071.51	$ 190,783.00	$ 121,350.00	$ 953,917.00	$ 621,041.00	$ 2,245,478.00	$ 1,719,570.64	77%	75%	2%
24	TEACH (ECIP and HEAP only)	14B-5024	$ -	$ -	$ 200,878.00	$ 104,182.14	$ 109,443.00	$ 43,362.44	$ 26,058.00	$ 833.00	$ 336,377.00	$ 148,377.58	44%	69%	-25%
25	CAPOC	14B-5025	$ 2,088,539.00	$ 1,383,838.59	$ 2,312,661.00	$ 1,648,440.25	$ 1,352,912.00	$ 905,849.53	$ 1,352,912.00	$ 932,613.80	$ 7,107,024.00	$ 4,850,740.17	68%	79%	-11%
26	Project GO, Inc.	14B-5026	$ 342,706.00	$ 225,909.47	$ 712,341.00	$ 337,210.52	$ 254,430.00	$ 100,476.00	$ 254,430.00	$ 91,789.00	$ 1,563,907.00	$ 755,384.99	48%	68%	-20%
27	Plumas CO. CDC	14B-5027	$ 146,837.00	$ 92,830.14	$ 370,965.00	$ 190,617.32	$ 24,298.00	$ 17,892.00	$ 12,149.00	$ 8,236.00	$ 554,249.00	$ 309,575.46	56%	80%	-24%
28	CAP of Riverside Co	14B-5028	$ 3,223,448.00	$ 1,388,209.27	$ 2,746,773.00	$ 481,906.69	$ 3,707,034.00	$ 1,651,711.69	$ 1,690,679.00	$ 1,047,709.45	$ 11,367,934.00	$ 4,569,537.10	40%	65%	-24%
29	CRP, Inc.	14B-5029	$ 3,690,706.00	$ 2,678,789.98	$ 3,040,184.00	$ 2,083,808.77	$ 2,288,311.00	$ 1,823,715.39	$ 1,180,068.00	$ 862,036.58	$ 10,199,269.00	$ 7,448,350.72	73%	67%	6%
30	San Benito (No Wx)	14B-5030	$ -	$ -	$ 104,445.00	$ 71,952.00	$ 133,418.00	$ 94,455.00	$ 120,076.00	$ 116,499.00	$ 357,939.00	$ 282,906.00	79%	0%	79%
31	CAP of San Bernardino County, Inc.	14B-5031	$ 2,307,408.00	$ 1,803,859.55	$ 2,703,719.00	$ 1,201,630.61	$ 2,061,799.00	$ 1,313,338.53	$ 2,537,599.00	$ 1,909,120.57	$ 9,610,525.00	$ 6,227,949.26	65%	60%	5%
32	MAAC	14B-5032	$ 549,515.00	$ 527,377.43	$ 783,979.00	$ 494,509.60	$ 716,450.00	$ 428,911.83	$ 390,792.00	$ 374,590.00	$ 2,440,736.00	$ 1,825,388.86	75%	73%	2%
33	EOC San Francisco	14B-5033	$ 691,895.00	$ 574,554.64	$ 563,090.00	$ 345,870.74	$ 1,040,703.00	$ 738,340.00	$ 480,325.00	$ 480,447.00	$ 2,776,013.00	$ 2,139,212.38	77%	75%	2%
34	San Joaquin County Dept. of ACS	14B-5034	$ 1,820,249.00	$ 226,215.74	$ 897,993.00	$ 414,196.76	$ 1,589,131.00	$ 1,079,297.00	$ 800,633.00	$ 488,664.00	$ 5,108,006.00	$ 2,208,373.50	43%	39%	4%
35	CAP of San Luis Obispo County, Inc.	14B-5035	$ 276,599.00	$ 249,557.53	$ 479,521.00	$ 357,037.51	$ 211,231.00	$ 111,627.44	$ 198,028.00	$ 92,655.40	$ 1,165,379.00	$ 810,877.88	70%	62%	8%
36	CAC of Santa Barbara County	14B-5036	$ 450,096.00	$ 289,203.52	$ 982,903.00	$ 684,387.05	$ 375,950.00	$ 111,011.00	$ 107,417.00	$ 65,836.00	$ 1,896,366.00	$ 1,130,437.57	60%	65%	-5%
37	Sacred Heart Community Service	14B-5037	$ 1,083,043.00	$ 1,048,598.44	$ 1,109,929.00	$ 339,740.27	$ 2,119,419.00	$ 1,813,777.82	$ 361,851.00	$ 141,604.00	$ 4,674,242.00	$ 3,343,718.53	72%	71%	0%
38	CCES	14B-5038	$ 1,488,823.00	$ 792,995.63	$ 1,582,440.00	$ 1,188,830.31	$ 1,978,193.00	$ 898,875.00	$ 808,796.00	$ 627,730.00	$ 5,858,252.00	$ 3,448,430.94	59%	77%	-19%
39	SHHIP	14B-5039	$ 655,622.00	$ 449,303.18	$ 1,324,363.00	$ 932,905.53	$ 301,158.00	$ 262,369.66	$ 481,154.00	$ 445,395.54	$ 2,762,297.00	$ 2,089,973.91	76%	78%	-1%
40	GNC	14B-5040	$ 334,748.00	$ 238,618.25	$ 548,940.00	$ 362,467.00	$ 243,841.00	$ 152,690.12	$ 268,282.00	$ 175,133.41	$ 1,395,809.00	$ 928,908.78	67%	78%	-12%
41	CVOC	14B-5041	$ 888,788.00	$ 596,525.05	$ 845,627.00	$ 501,433.12	$ 1,476,732.00	$ 997,368.75	$ 544,280.00	$ 283,583.76	$ 3,755,427.00	$ 2,358,910.68	63%	73%	-10%
42	C-SET	14B-5042	$ 1,224,030.00	$ 868,032.00	$ 1,450,160.00	$ 674,742.19	$ 2,161,625.00	$ 664,773.20	$ 321,323.00	$ 183,350.98	$ 5,157,138.00	$ 2,388,898.37	46%	73%	-26%
43	Ventura County CHC	14B-5043	$ 739,435.00	$ 527,302.78	$ 946,628.00	$ 387,497.87	$ 370,575.00	$ 219,425.00	$ 1,058,784.00	$ 532,138.36	$ 3,115,422.00	$ 1,666,363.99	53%	75%	-22%
44	Project GO, Inc.	14B-5044	$ 403,759.00	$ 237,599.86	$ 603,612.00	$ 348,909.67	$ 348,882.00	$ 199,621.91	$ 348,883.00	$ 216,193.86	$ 1,701,136.00	$ 1,002,325.30	59%	79%	-20%

October 29, 2014

2014 LIHEAP Statewide Expenditures 3rd Quarter 2014

#	Agency	Contract Number	Wx Allocation	Wx Expenditure	EHA-16 Allocation	EHA-16 Expenditure	HEAP Allocation	HEAP Expenditure	Fast Track Allocation	Fast Track Expenditure	Cumulative Allocation	Cumulative Expenditure	% Actual Expenditure	% Projected Expenditure	% Difference
	STATEWIDE EXPENDITURE TOTALS:		$ 48,337,916	$ 29,515,212	$ 55,065,064	$ 27,565,682	$ 45,364,297	$ 27,479,837	$ 30,958,746	$ 20,200,150	$ 179,726,023	$ 104,760,881	58%	65%	-7%
			Wx	61%	EHA-16	50%	HE	61%	FT	65%					

# of Agencies < Expenditure Goal	29
# of Agencies < Unit Goal	28

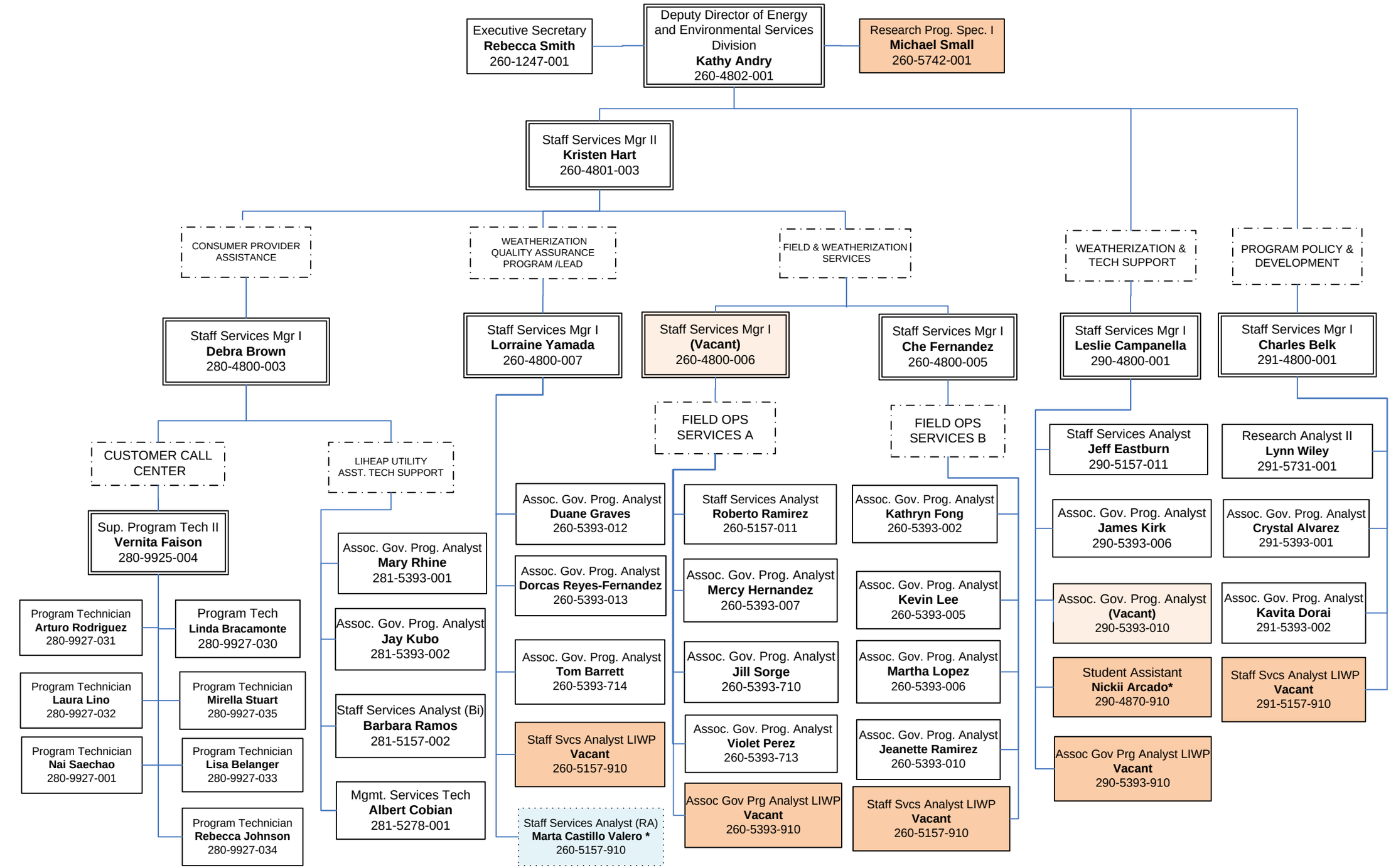
Category	Allocation	Expenditure	%
Wx - Direct Program Activity	$ 30,915,900.00	$ 20,605,637.29	67%
EHA-16 EHCS & WPO	$ 19,656,789.00	$ 11,245,220.09	57%
Utility Assistance	$ 76,323,043	$ 47,679,987	62%
Prog. Services TOTAL 2014 LIHEAP	*$ 126,895,732.00*	*$ 79,530,844.40*	63%
Total 2014 LIHEAP	$ 179,726,023	$ 104,760,881	

Category	Allocation	Expenditure
Wx - DPA Vs. Statewide Total	17%	20%
EHA-16 EHCS & WPO Vs. Statewide Total	11%	11%
Utility Assistance Vs. Statewide Total	42%	46%

2014 LIHEAP Unit Production

#	Agency	Contract Number	Actual Wx Units	Projected Wx Units	Actual EHA-18 Units (EHCS & WPO)	Projected EHA-18 Units	Actual HEAP Units	Projected HEAP	Actual Fast Track Units	Projected Fast Track Units	Total Actual Units	Total Projected Units	Difference
1	Spectrum Comm Svc	14B-6001	178	269	124	225	2,242	1,930	1,297	1,325	3,841	3,749	92
2	Amador-Tuolumne CAA	14B-6002	91	41	480	388	503	529	302	156	1,376	1,114	262
3	Butte Co. CAA	14B-6003	113	119	84	464	205	375	311	2,139	714	3,097	(2,383)
4	Glenn Co Human Recou	14B-6004	24	41	181	99	346	311	326	429	877	880	(3)
5	Contra Costa	14B-6005	95	105	51	38	1,794	1,495	2,003	2,660	3,943	4,298	(355)
6	Redwood CAA	14B-6006	59	39	142	120	216	255	149	154	566	568	(2)
7	El Dorado Co	14B-6007	77	94	445	1,868	465	1,070	18	40	1,005	3,072	(2,067)
8	Fresno Co. EOC	14B-6008	372	262	147	210	6,446	5,343	4,594	3,329	11,559	9,144	2,415
9	Redwood CAA	14B-6009	119	127	376	258	810	647	416	315	1,721	1,347	374
10	Campesinos Unidos, Inc.	14B-6010	279	528	127	204	1,238	2,384	2,399	1,137	4,043	4,253	(210)
11	IMACA	14B-6011	-	12	66	254	8	5	5	10	79	281	(202)
12	CAP of Kern	14B-6012	292	240	208	138	3,324	3,246	2,071	2,029	5,895	5,653	242
13	Kings CAO, Inc.	14B-6013	51	54	22	27	685	615	364	360	1,122	1,056	66
14	North Coast Energy Svc	14B-6014	747	45	875	1,410	3,682	3,808	2,464	3,076	7,768	8,339	(571)
15	Lassen Econ.Dev.Corp	14B-6015	34	40	251	680	59	26	-	-	344	746	(402)
16	CES	N/A	-	-	-	-	-	-	-	-	-	-	-
17	Maravilla Foundation	14B-6017	1,547	1,080	1,360	990	10,183	9,390	489	331	13,579	11,791	1,788
18	PACE	14B-6018	716	1,260	357	1,260	5,771	5,400	2,134	1,800	8,978	9,720	(742)
19	Long Beach CAP	14B-6019	500	563	48	45	5,619	6,366	2,783	3,433	8,950	10,407	(1,457)
20	CAP of Madera County, Inc.	14B-6020	51	70	93	10	1,167	933	671	561	1,982	1,574	408
21	Comm Action Marin	14B-6021	16	67	69	87	517	478	280	216	882	848	34
22	Mariposa County HSD	14B-6022	15	27	344	221	76	56	154	87	589	391	198
23	Merced Co CAA	14B-6023	94	117	94	66	536	628	2,005	2,315	2,729	3,126	(397)
24	TEACH	14B-6024	-	-	219	16	150	260	1	23	370	299	71
25	CAPOC	14B-6025	405	446	296	382	2,995	3,295	2,191	2,139	5,887	6,262	(375)
26	Project GO, Inc.	14B-6026	62	60	296	19	282	208	233	208	873	495	378
27	Plumas CO. CDC	14B-6027	16	20	256	458	71	98	23	42	366	618	(252)
28	CAP of Riverside Co	14B-6028	281	501	96	417	4,674	6,656	2,511	2,589	7,562	10,163	(2,601)
29	CRP, Inc.	14B-6029	613	389	241	245	6,436	6,281	2,900	3,240	10,190	10,155	35
30	San Benito	14B-6030	-	-	11	14	343	357	304	322	658	693	(35)
31	CAP of San Bernardino	14B-6031	171	149	320	322	4,202	1,957	4,121	1,670	8,814	4,098	4,716
32	MAAC	14B-6032	115	103	87	91	1,652	1,753	1,456	949	3,310	2,896	414
33	EOC San Francisco	14B-6033	121	154	6	23	4,051	4,320	916	824	5,094	5,321	(227)
34	San Joaquin County Dept. of ACS	14B-6034	58	74	31	51	3,692	1,850	1,191	643	4,972	2,618	2,354
35	CAP of San Luis Obispo County, Inc.	14B-6035	58	48	137	113	448	474	306	444	949	1,079	(130)
36	CAC of Santa Barbara County	14B-6036	207	195	89	72	441	715	177	179	914	1,161	(247)
37	Sacred Heart Community Service	14B-6037	714	611	30	48	7,194	6,313	304	611	8,242	7,583	659
38	CCES	14B-6038	254	254	230	465	3,290	6,211	2,345	2,861	6,119	9,801	(3,682)
39	SHHIP	14B-6039	185	194	720	1,134	780	548	646	468	2,331	2,344	(13)
40	GNC	14B-6040	31	23	434	90	435	472	260	216	1,160	801	359
41	CVOC	14B-6041	210	233	47	50	2,683	2,822	672	993	3,612	4,098	(486)
42	C-SET	14B-6042	138	155	80	292	1,986	3,902	252	278	2,456	4,627	(2,171)
43	CA of Ventura County, Inc.	14B-6043	141	245	64	119	769	887	1,367	2,122	2,341	3,373	(1,032)
44	Project GO, Inc.	14B-6044	67	64	176	20	548	708	517	708	1,308	1,500	(192)
	STATEWIDE UNIT PRODUCTION TOTALS:		9,317	9,128	9,810	13,603	93,016	96,377	47,928	47,431	160,070	166,438	(6,368)

ENERGY AND ENVIRONMENTAL SERVICES DIVISION



Explanation of Indirect Costs

Category	Actual Expenditures State Fiscal Years 2010-11, 2011-12, 2012-13, 2013-14		2015 Budget Estimate	
Total DOE Expenditures	$2,087,418		$888,472	
Direct Costs				
Administrative	$80,369	4.46%	$141,338	18.41%
T&TA	1,722,776	95.54%	626,224	81.59%
Total Direct Costs	1,803,145	100.00%	767,562	100.00%
Indirect Costs				
Total Indirect Costs	284,273	15.77%	120,909	15.75%

Total Direct Costs	Indirect %	Total Indirect Costs
$767,562	15.7524%	$120,909

Total indirect costs are estimated based on prior years' expenditures. Refer to Attachment O Cost Allocation Plan.

Cost Allocation Plan

State Administrative Manual (SAM)

The State Administrative Manual (SAM) is a reference source for statewide policies, procedures, requirements and information developed and issued by authoring agencies such as the Governor's Office, Department of General Services (DGS), Department of Finance (DOF), and Department of Human Resources (CalHR). In order to provide a uniform approach to statewide management policy, the contents have the approval of and are published by the authority of the DOF Director and the DGS Director. The manual is available at http://sam.dgs.ca.gov/. Each state department is responsible for documenting and retaining their own cost allocation procedures and methodology in a cost allocation plan.

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

2014/15 COST ALLOCATION PLAN

I. PURPOSE/SCOPE/ENERAL OVERVIEW

The purpose of this plan is to document the Department of Community Services and Development (CSD) FY 2014/2015 cost allocation plan effective July 1, 2014, per State Administrative Manuel Sections 9200. The CSD utilizes the California State Accounting and Reporting System (CALSTARS) to allocate all of the department's administrative support costs and direct program costs which cannot be conveniently or practically charged to a single program (also referred to as indirect cost pools). The Department's Administration costs are identified in the Budget Act under Program 50.

II. DEFINITIONS

PCA – Program Cost Account is a five-digit number that identifies the purpose of the expenditure.

Index – is a four-digit number that identifies the location of the expenditure.

Object – is a five-digit number that identifies the type of expenditure.

CALSTARS Cost Allocation Process – as part of the fiscal month-end closing process, allocates indirect expenditures that are accumulated during the month. The allocation is based on the Cost Allocation Plan.

Direct Costs - Any cost that can be directly identified to a particular program cost account. It includes both personal services and operating expense costs.

Indirect Costs - Indirect costs are those which are (a) incurred for a common or joint purpose benefiting more than one program cost account and (b) not readily assignable to the program cost accounts specifically benefited. Indirect costs include Program 50 (Administration) costs. Typically any five-digit program cost account (PCA) starting with a 5xxxx prefix is an indirect PCA.

III. BUDGET STRUCTURE

To adequately justify Federal and legal mandates for fiscal accountability of programs, the CSD has two major programs in the Governor's Budget:

Program 20 – Energy Programs

Program 40 – Community Services

Within Programs 20, and 40, specific PCAs are defined and represent the lowest level for capturing program expenditure information. There are 19 direct State Operation PCAs.

These PCAs not only receive direct costs assigned to them, but also allocated costs from Program 50 which are administrative support costs from labor and operating expenses.

Program 50 – Administration

Element 01 - Administration
Element 02 - Distributed Administration

The Administration program contains all costs at the directorate level and the costs of the staff support organizational units. Examples of administration costs are executive policy and planning, general administration, budgeting, accounting, business services, human resources, audit compliance, contract processing, and information technology support.

IV. ALLOCATION METHODOLOGY

For the FY 2014/2015, cost allocation will be reflected at the program level, not at the index (organizational) level. Using this method, the program cost account (PCA) information can be captured to reflect the full cost to operate a specific Federal activity. These direct PCAs, individually or collectively, are designed to roll up to the appropriation funding levels controlled by the State Controller's Office (SCO) and Department of Finance (DOF).

All administration costs for labor and Operating Expenses & Equipment (OE&E) are charged to PCA 50xxx series. These indirect expenditures are accumulated and allocated to the direct PCAs on a monthly basis through the CALSTARS Cost Allocation Process. As part of that process, the accumulated indirect expenditures are credited against Index 9600 – Cost Allocation, PCA 50xxx series – Distributed Administration, and Object 912 – Internal Cost Recovery. The amounts are distributed to the direct PCAs based on a fixed percentage of expenditure from the allocation base. The distributed expenditures are charged to Index 9600 – Cost Allocation, direct PCA, and Object Code426 – Indirect Distributed Costs for OE&E or Object Code 427 for Labor – Indirect Distributed Costs for Labor.

For FY 2014/2015, the CSD has 19 direct State Operations PCAs to account for the department’s two major program funding sources. In addition, there are 8 indirect PCAs to allocate costs to direct PCAs through the cost allocation process.

V. ALLOCATION OF INDIRECT COST POOLS

Costs not practically chargeable to a specific program are accumulated into the indirect cost pools identified in Program 50 under PCA 50xxx_OE&E series in the Cost Allocation Table.

The Program 50 indirect cost pools will be allocated to the following programs while

maintaining their original index (organizational) identification during the cost allocation process:

20 – Energy Programs
40 – Community Services

The monthly dollar accumulation of each indirect cost pool is allocated to the direct programs based upon a fixed rate from the allocation base set up with specified direct PCAs to charge.

Initial Charge of Indirect 50xxx OE&E PCAs series include:

51411, 51413, 51415, 51417, and 51419

Credit:

Index	PCA	Title	Obj
9600	51412	Dist Admin	912
9600	51414	Dist Admin	912
9600	51416	Dist Admin	912
9600	51418	Dist Admin	912
9600	51420	Dist Admin	912

Fixed Distribution to Direct Program PCAs:

Index	PCA	Title	Obj	Percentage
0000	2B13C	LIHEAP	426	60%
0000	4F14B	CSBG	426	25%
0000	2G14A	LWIP	426	10%
0000	2A14A	DOE	426	5%
			TOTAL	100%

VI ALLOCATION OF ADMINISTRATION COSTS

Program 50-administration costs are allocated to the following direct programs without Index identification in the cost allocation process:

20 – Energy Programs
40 – Community Services

The basis of distribution of Program 50-administration costs is based on a fixed rate from the total cost pool 50xxx labor PCAs series. These allocated costs are reflected in object code 427 in each of CSD's direct PCAs.

Initial Charge of Indirect 50xxx Labor PCAs series include:

51401, 51403, and 51405

Credit:

Index	PCA	Title	Obj
9600	51402	Dist Admin	912
9600	51404	Dist Admin	912
9600	51406	Dist Admin	912

Fixed Distribution to Direct Program PCAs:

Index	PCA	Title	Obj	Percentage
0000	2B13C	LIHEAP	427	60%
0000	4F14B	CSBG	427	25%
0000	2G14A	LWIP	427	10%
0000	2A14A	DOE	427	5%
			TOTAL	100%

V. ALLOCATION SEQUENCE

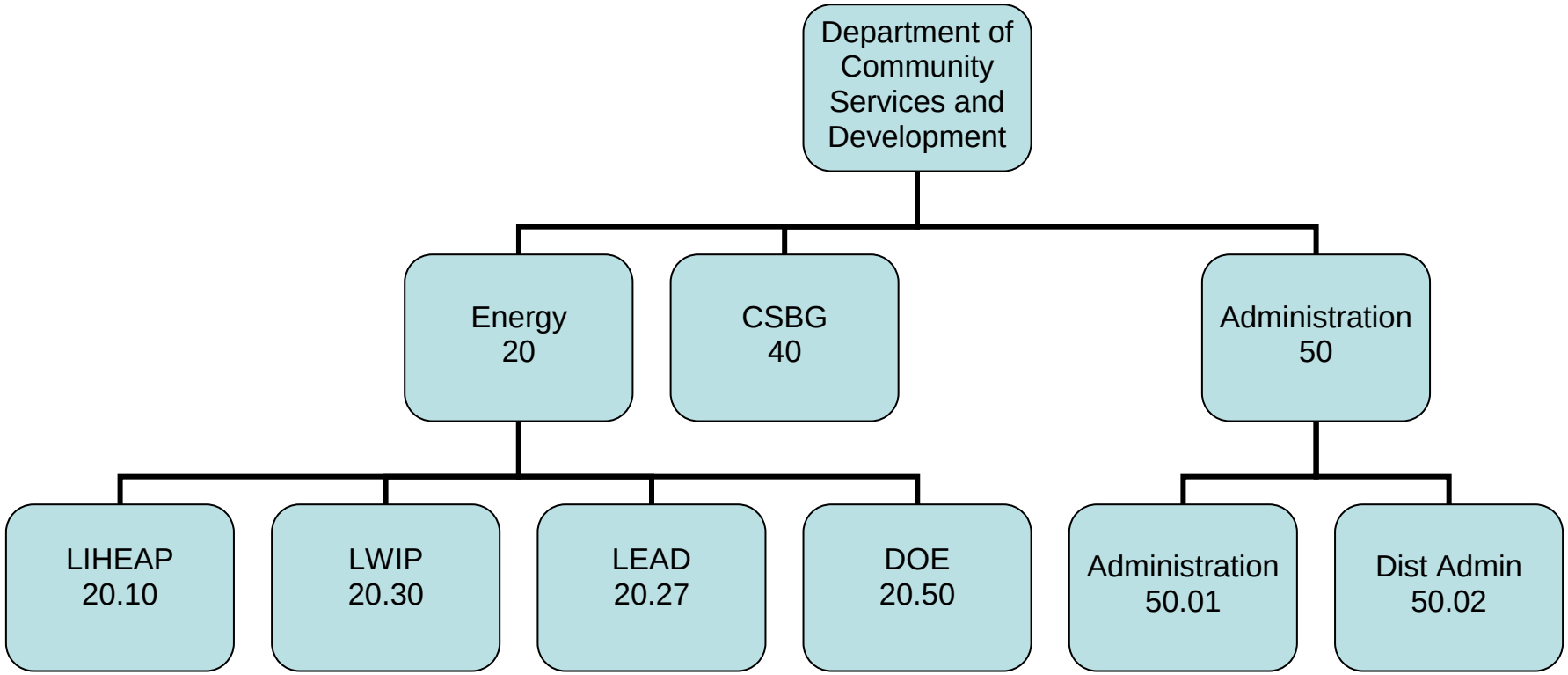
Indirect Cost Pools - These costs are allocated during Step 1 of the month-end Cost Allocation/Fund Split process.

Administration Costs - These costs are allocated during Step 2 of the month-end Cost Allocation/Fund Split process.

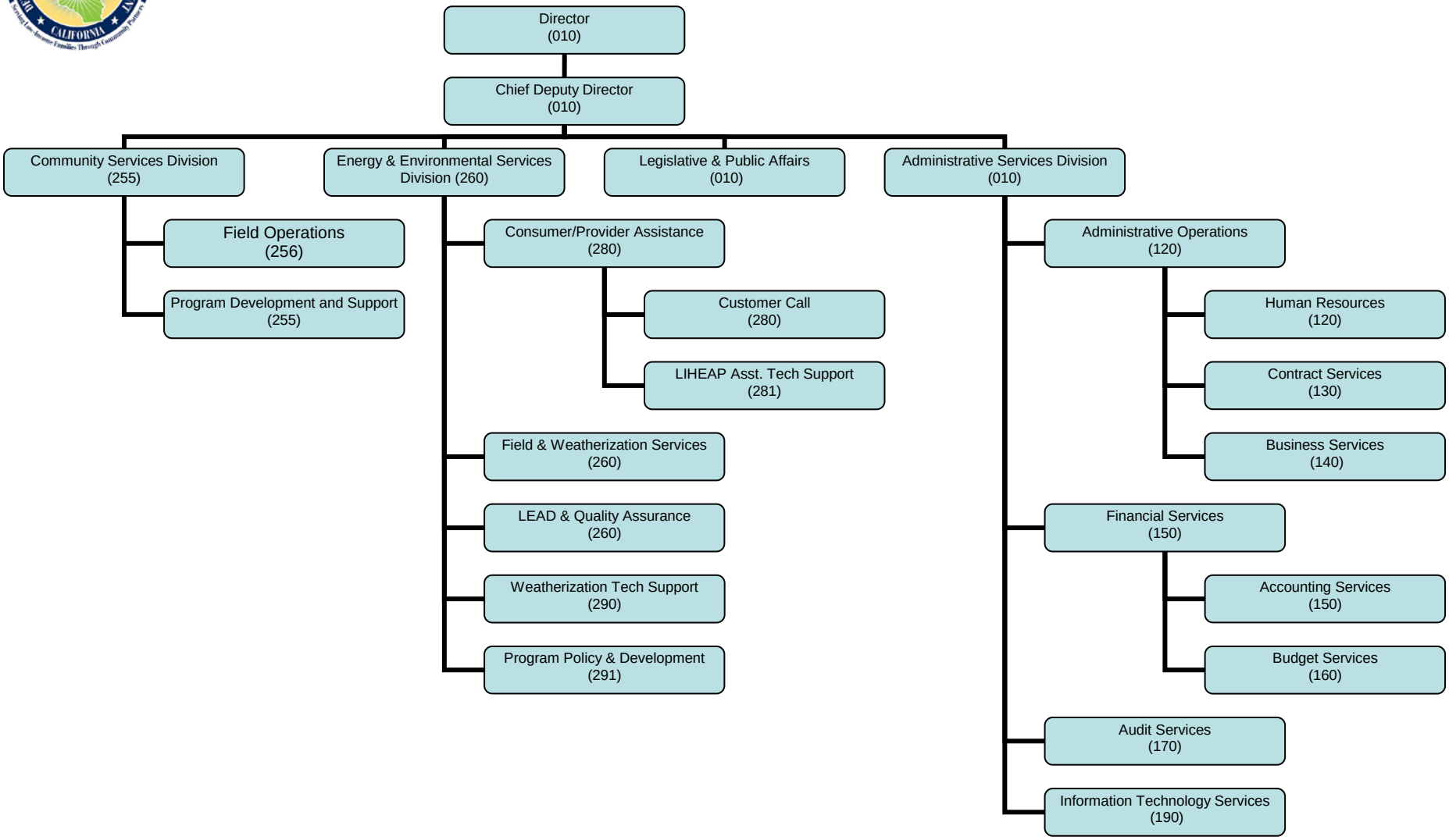
VI. PROGRAM AND ORGANIZATION STRUCTURE

The Department's Program and Organization structure is identified on the following pages.

Department of Community Services and Development Program Structure



Department of Community Services and Development Organization Chart



A-133 Audit

The most recent A-133 Audit for the Department of Community Services and Development can be found at http://www.bsa.ca.gov/pdfs/reports/2014-002.pdf

WPN 14-4 Quality Work Plan Requirements

The Department of Energy has determined that workers providing weatherization services under the DOE weatherization assistance program must be properly trained and certified. As such, the following tenants shall be considered:

- Standard work specifications
- Accreditation of Energy Efficiency Training Programs/Centers
- Home Energy Professional (HEP) Certifications

Working in partnership with DOE, the National Renewable Energy Laboratory defined the basic skill sets for each for four job classifications:

- Installer/Technician: Performs the actual installation of the work.
- Crew Leader: Directs and supervises the work of the Installers.
- Energy Auditor: Assesses the home before the work begins for energy savings opportunities and writes a scope of work for the crew.
- Quality Control Inspector: Inspects the quality of the installed work.

The first classification accreditation to be developed and tested is the Quality Control Inspector (known as QCI). The Quality Control Inspector is defined as: a residential energy efficiency professional who ensures the completion, appropriateness, and quality of energy upgrade work by conducting a methodological audit/inspection of the building, performing safety and diagnostic tests, and observing the work.

Section 1 – Work Quality Guidelines and Standards

CSD has incorporated all SWS requirements and new energy and building codes into the Weatherization Installation Standards (WIS). A new and separate Field Guide has been written to accommodate Job Task Analysis, measure feasibility criteria and field work procedures. As a next step toward providing the required “Technical Guides and Materials” training, we have issued a network wide survey to determine overall number of attendees, allowing us to identify feasible training locations and begin scheduling WIS and Field Guide trainings. This is a mandatory training for all field staff (Field/Crew Supervisors, Installers, Assessors, Inspectors, and subcontractors). Both manuals have been reviewed by internal technical staff, third-party technical consultants and the Subgrantee network. The manuals were released to our network and submitted to DOE for review on April 1st, 2015. Based upon a completed review by DOE, revisions will be made in accordance with DOE feedback.

Training will be provided through webinars and workshops to ensure that the new standards and expectations are clearly defined and understood.

Section 2 – Communication of Guidelines and Standards

CSD contracts have always incorporated by reference and required adherence to the WIS, Energy Program Notices, policies (including priority list and audit protocols), and other federal and state guidelines. Through the use of these tools, which now includes the new Field Guide, CSD provides Subgrantees with technical requirements for field work including: assessments/testing, installations of energy conservation measures, health and safety and incidental repair measures, and also final inspections. Adherence to Appendix A to Part 440 is included in the WIS. Contracts currently contain the following language:

> Contractor shall adhere to all CSD program standards pursuant to the following documents and manuals which have been incorporated by reference and made part of this Agreement as if attached hereto:
>
> a. CSD Low-Income Weatherization Assistance Program Policies and Procedures;
> b. CSD Conventional Home Weatherization Installation Standards (WIS);
> c. CSD Inspection Policies and Procedures;
> d CSD LIHEAP/DOE Program Health and Safety Appliance Replacement Policy;
> e. Official State and Federal Program Notices;
> f. DOE WAP Disaster Relief Plan;
> g. Current LIHEAP Eligibility Verification Guide.

CSD contracts also contain language that requires Subgrantees to include all program requirements in their subcontractor agreements, as follows:

> Contractor may enter into subcontract(s) to perform part or all of the services contemplated under this Agreement. Prior to the commencement of subcontracted services under this Agreement, Contractor shall obtain board approval, to include but not be limited to an assurance that the subcontractor agreement(s) shall comply with all terms, conditions, assurances, and certifications of this Agreement for the nonprofit and local governmental agencies performing services in the area(s) described in EXHIBIT A, Section 2.

The contract language has been updated for Program Year 2015 to specifically include adherence to the new Field Guide, SWS requirements, quality work standards, inspection compliance and QCI qualifications, training requirements, and certifications. By signing the CSD contract, Subgrantees are acknowledging receipt of all technical manuals, policies and protocols.

Additional communication in support of the standards is provided by the hotline maintained specifically for technical questions and a FAQ. CSD conducts “Technically Speaking…” webinars that disseminate information regarding new requirements, clarification on policies and standards and field issues identified through monitoring or upon Subgrantee request. All current weatherization documents and forms are readily available through the CSD Contractors website. CSD is also administering an automated forms pilot that allows access to the current

standards at strategic points while performing an assessment, diagnostics or inspection. Implementation date of the forms will be dependent upon the incorporation of the forms by third party software vendors that Subgrantees have contracted with.

Section 3 – Inspection and Monitoring of Work Using Guidelines and Standards

CSD requires that all individuals who perform an evaluation and sign off on work performed in DOE units, including Subgrantee final inspectors and CSD QC monitoring staff, must possess the knowledge, skills and abilities in the NREL JTAs. Accordingly, we have developed a Quality Control Inspection policy which is a combination of the DOE-prescribed Independent QCI and Independent Assessor (Auditor)/QCI options for administering quality control inspections. This hybrid approach is necessary due to the vastness of our Subgrantee territories and the varying pace at which Subgrantees will be able to obtain Certified QC inspectors of their own. Within the hybrid program design, CSD will pre-determine the number of agencies whose inspection needs will be served by:

- CSD staff-comprised QCI team
- CSD program partner whom CSD contracts to provide the QCI services.
- Voluntary contractual agreements between Subgrantees to provide QCI services.

CSD will conduct periodic client file reviews to determine that every unit reported as a "completed unit" has received the appropriate final inspection, ensuring that all work meets the minimum SWS specifications. In doing so, CSD will also ensure that each client file contains a form which is signed by a certified QC Inspector, certifying that the unit has received a final inspection. Additionally included, will be an evaluation of the original assessment (audit) to confirm that the measures called for on the work order were in fact appropriate and in accordance with CSD assessment procedures and protocols approved by DOE. The current inspection form, CSD 611 Contractor Post-Weatherization Inspection Report, completed by Subgrantee QC staff, will be revised to include certification of adherence to SWS standards. Inspections performed by CSD or their contractor are documented on CSD 822 QA Inspection Program Third-Party Contractor Evaluation Report. This form will also be revised to include language certifying that the inspected dwelling meets SWS standards. Both the CSD 611 and 822 inspection certification forms are required to be maintained in the client file when a CSD QA Inspection and Contractor Post-Weatherization Inspection has been completed for the same dwelling.

Through client file reviews, a percentage of assessments are currently reviewed by both QC inspectors and field monitoring staff. All energy audits are submitted and reviewed by CSD's Technical Support Unit prior to the commencement of work. These monitoring practices will continue.

CSD will perform quality assurance reviews of at least 5 percent of all completed units. For smaller Subgrantees, staffing levels do not always allow the separation of duties between the

assessor/auditor and inspector to provide the independent review of the assessment/audit that DOE seeks. On a case-by-case basis, CSD may grant an exemption to this requirement and increase the number of inspections to a minimum of 10%.

Disciplinary action will be dispensed when inspection protocols are not followed. Written notification/correspondence will be provided to the Subgrantee informing them of the reason for and the nature of the disciplinary action to follow. Depending upon the severity, this can be in the form of additional training, additional state inspections, disallowances and other sanctions including suspension of the QC inspector in question.

CSD QC staff will continue to monitor the department's third-party inspectors to ensure compliance by making onsite visits during their inspections.

Also, CSD will ensure that QCIs working in multifamily buildings attend, and receive a successful evaluation from a training program delivering a curriculum based on the NREL Multifamily Quality Control Inspector JTA per DOE requirements.

Section 4 – Provide Training to Implement and Maintain Guidelines/Standards

CSD's training plan addresses two distinct categories: Tier 1 Training and Tier 2 Training.

Tier 1 Training: Our Tier 1, core technical classes are largely in alignment with the NREL Job Task Analysis (JTAs) and currently 78.8% of our core Tier 1 training course curricula meets/addresses the requisite JTAs. The Tier 1 training will be updated to ensure 100% JTA alignment for that occupation. Additionally, as part of the required Tier 1 training guidelines, CSD will ensure that our program approved training centers utilize a training program that is accredited by a DOE-approved accreditation organization.

Tier 2 Training: Based on the results of quality assurance reviews, CSD will update and continue to provide additional one-on-one or group enhancement (Tier 2) training(s) to provide supplemental assistance to our agencies and improve areas of weakness to ensure DOE inspection requirements are consistently met. Currently, CSD has field training, mentoring, online training and field staff assessment available. These will each be enhanced to meet DOE requirements.

In order to tailor California's existing field worker training program to meet the Weatherization Assistance Program (WAP) certification requirements, California will implement a two-phase approach.

The first phase will update the core technical classes (Basic Weatherization, Combustion Appliance Safety, and Duct Blaster/Blower Door Diagnostics) to ensure that 100% of the requisite JTAs are met and to address key program changes implemented with the adoption of new program policy since 2011, address the new 2013 California Title 24 requirements, and

incorporate the DOE Standard Work Specifications not already included in CSD's current Weatherization Installation Standards. The second phase of training program redesign will include development of additional Job-Task Analysis-aligned curricula to address the supplementary technical and "soft skill" components defined for Installers, Quality Control Inspectors, Auditor/Assessors, and Crew Chiefs. These role-specific courses will be required in addition to the core technical classes. Each curriculum, once updated, will be submitted to IREC through the accreditation process.

In order to ensure that all DOE QCI accreditation requirements are met, CSD has developed a training program model intended to include all of the tasks a Quality Control Inspector may perform, as well as the knowledge, skills, and abilities required to do these tasks, and most importantly become properly certified.

CSD intends to train and certify prequalified QCI candidates at each agency, if possible. This is the ideal, but given that funding at some agencies is inadequate or no suitable candidate exists, CSD will use the state's certified QCI team who would provide full DOE inspection services where needed.

Phase I: Development and Deployment

1. CSD has compared QCI job-task analysis and exam blueprint with existing curricula to ensure training and certification compliance.
2. CSD's model now contains the following:
    a. Established policy for validation of the Quality Control Inspectors' credentials.
    b. Developed policies and procedures to address situations when the QCI is not inspecting units using the standards adopted by the state and consistent with the SWS. This policy also now includes monitoring of the QCI and procedures for disciplinary action if inspection protocols are not consistently followed.
    c. Ongoing coordination with an accredited training center to establish and maintain a consistent training approach.
3. When an agency has nominated at least one QCI candidate, CSD will:
    a. Assemble a training webinar on required QCI prerequisites and application process.
    b. Ensure the QCI application is made available to Managers for candidate selection.

Phase II: Candidate and Application Coordination

CSD has now begun the application coordination process of qualifying CSD QCI staff, third party QCI contractor and Subgrantee staff who upon approval, will attend an accredited training and participate in the certification exam.

CSD will ensure evaluation of each QCI candidate (considering BPI certifications, work experience, training, etc.) to determine if accredited training is appropriate to improve the likelihood for certification before the exam is attempted.

As such, we have discovered that some Subgrantees currently have individuals that are qualified to apply for the exam and others that are in various stages of becoming qualified to take the exam. As a result, CSD will be assisting in the application submittal process in a multiple round format, allowing some agencies to apply now, which is the 1st round, and some other agencies, as their QCI candidates become qualified in the 2nd round.

As a consequence of the above-referenced training and implementation plan CSD through its review and evaluation of each QCI candidate, currently has approximately 60 QCI candidates qualified by BPI standards, to apply for the 1st round of IREC QC Inspector training. Upon successful completion of the IREC QCI training, qualified candidates will then take the IREC certification exam at an IREC accredited testing center.

Through this process, Subgrantee, CSD and third-party QC inspectors will be in place by the beginning of the Subgrantees' contract term and no dwelling will be billed to the DOE program without an inspection performed by a certified inspector.

The department's third-party technical contractor will become accredited affiliate instructors. Accredited instructors shall shepherd qualified Subgrantee inspectors through the application process, completion of testing, and final certification.

Phase III: Preparation for Recertification Compliance

DOE requires recertification every three years. In order to be eligible for recertification, candidates must have accumulated a minimum of 10 qualifying continuing education units (CEUs) each year over the three years of certification. In order to meet recertification requirements and diminish the effects of the "perishable knowledge" phenomenon, CSD is developing a CEU training plan, curricula, and to the extent necessary, preparing instructors to provide workshops, since the stated intent of DOE is to apply similar certifications requirements (including the CEU component) to all job classification.

Phase IV: Long-Term Plan for Certification Compliance

The DOE-approved QCI curriculum currently incorporates many more "soft skills" than are addressed in the CSD diagnostics and basic weatherization curricula. Update and modification of this curriculum will keep travel costs to a minimum and allow CSD to build a "stepped" learning process, whereby the both technical and soft skills are taught and reinforced at many levels. Once the QCI training is prepared, the same accreditation process would be applied to the other three defined job roles.

Changes to the QCI Plan

As CSD works towards meeting the new DOE requirements, the plan as outlined may need to be revised to accommodate changes made by DOE during the upcoming program year,

unsuccessful certifications of candidates and other unforeseen difficulties. Any significant changes will be resubmitted to DOE for approval.

EPA Certified Firm List

Agency	Firm Certificate	Expiration Date
Amador-Tuolumne Community Action Agency	NAT-48304-1	06/17/15
Campasinos Unidos, Inc.	NAT-46871-1	06/02/15
CAP of Kern	NAT-57572-1	07/02/15
CAP of Riverside County	NAT-73398-1	08/20/15
CAP of San Bernardino County	NAT-113683-1	07/12/16
Central Coast Energy Services	NAT-38794-2	05/24/20
Central Valley Opportunity Center	NAT-38671-1	05/20/15
Community Action Commission of Santa Barbara	NAT-25338-1	04/16/15
Community Action Partnership of San Luis Obispo Co.	NAT-33515-1	05/03/15
Community Action Agency of Butte County	NAT-36145-1	05/24/15
Community Action of Ventura County	NAT-25184-1	04/19/15
Community Action Partnership of Orange County	NAT-21983-0	04/07/15
Community Resource Project, Inc.	NAT-30524-1	05/05/15
Community Services & Development	Exempt	N/A
Community Services & Employment Training, Inc.	NAT-54362-2	06/02/20
Contra Costa Emp. & Human Serv. Dept.	NAT-74636-2	08/28/20
El Dorado County Dept. Community Services	NAT-37138-1	05/19/15
EOC of San Francisco, Inc.	NAT-104770-1	05/15/16
Fresno County Econ. Oppertunities Commission	NAT-33884-1	04/30/15
Glenn County Human Resource Agency	NAT-64193-1	02/15/16
Great Northern Company	NAT-43180-1	08/23/15
Inyo Mono Advocates for Community Action	NAT-64405-1	07/17/15
Kings of CAO	NAT-31539-1	05/04/15
Lassen Economic Development Corporation	NAT-57677-1	07/14/15
Long Beach Community Action Partnership	NAT-110555-1	05/06/16
Maravilla Foundation	NAT-32985-1	05/12/15
Mariposa County of Human Services	NAT-54460-1	06/22/15
Merced County CAA	NAT-22357-2	04/23/20
Metropolitan Area Advisory Committee	NAT-38455-1	05/19/15
Nevada County Dept. of Housing & Community Services	NAT-34795-1	05/03/15
Northern Coast Energy Services	NAT-40030-1	05/25/15
Pacific Asian Consortium in Employment	NAT-24930-1	05/03/16
Plumas Co. Community Development Commission	NAT-38774-2	05/24/20
Project GO, Inc	NAT-39060-2	05/26/20
Redwood Community Action Agency	NAT-21443-0	03/15/15
Sacred Heart	NAT-108795-1	04/08/16
San Joaquin Co. Dept. of Aging & Comm. Services	NAT-56344-1	06/24/15
Self-Help Home Improvement Project, Inc.	NAT-22399-0	03/18/20
Spectrum	NAT-88316-1	01/05/16
Subcontractor	**Firm Certificate**	**Expiration Date**
Ace & Sons Construction	NAT-35770-1	05/21/15
Alcal Insulation	NAT-93257-1	Exp. 12/17/15
Ambient Air	NAT-113721-1	07/14/16
American Inc HVAC	NAT-87998-1	11/21/15
Arevalos Heating	NAT-31800-1	04/29/15
Azeteca Enterprise	NAT-31670-1	04/28/15
Bakersfield Glass & Window	NAT-110041-1	05/02/16
Clarke & Rush Mechanical	NAT-96295-1	12/27/15
Community Energy Services Corp.	NAT-38749-1	05/24/15
David Starrett Construction	NAT-34092-1	05/06/15
Dyke Plumbing & Heating	NAT-77389-1	09/22/15
East County Glass	NAT-28636-1	04/30/15

EPA Certified Firm List

Subcontractor	Firm Certificate	Expiration Date
Energy Service Partnership	NAT-89394-1	11/30/15
Futura Energy	NAT-F151882-1	04/13/20
Gary Holtberg Construction	NAT-112453-1	06/20/16
Hawaii Blue Construction	NAT-41896-1	05/14/15
Highlands Diversified	NAT-124391-1	04/30/17
Kenz Plumbing	NAT-91491-1	12/15/15
Loerke Insulation	NAT-62506-1	06/30/15
MASCO Contractor Services of California (Florida)	NAT-33297-2	05/19/20
McHale's Environmental Insulation	NAT-112436-1	06/20/16
Mechanical Refrigeration	NAT-60503-1	06/30/15
Murray Hardware	NAT-92414-1	12/14/15
Oasis Air Conditioning	NAT-112674-1	06/23/16
Placerville Glass	NAT-127759-1	08/21/17
Quality Glass	NAT-112653-1	06/23/16
Randy Herndon Plumbing H&C	NAT-62155-1	06/30/15
Reliable Energy Management	NAT-47960-1	06/30/15
Spears Glass	NAT-115362-1	08/17/16
Sundowner Insulation	NAT-33884-1	04/30/15
Superior Mechanical Services	NAT-112392-1	06/21/16
Synergy Companies	NAT-44700-1	05/22/15
THA Heating & Air	NAT-75987-1	07/06/15
Toki Builders	NAT-61168-1	07/06/15
Vasquez Group	NAT-24481-1	04/13/15
Western Insulation	NAT-33313-1	05/19/15

Note: All certfied firms have at least one renovator on staff as required.

Monitoring - Areas of Responsibility

		Unit Performing Monitoring			
	Subject	**Field**	**QAI**	**Techical Support**	**Financial Audit**
Programmatic and Management Monitoring	Subgrantee Review	X	X	Special Investiga-tions	
	Financial / Administrative	X		Special Investiga-tions	
	Equipment / Inventory/ Materials	X			
	Eligibility	X		Special Investiga-tions	
	Rental	X	X		
	Feedback and Reporting	X	X		
	Energy Audits	X	X	X	
	Field Work	X	X		
	Health and Safety	X	X	X	
	Quality Assurance	X	X	Special Investiga-tions	
	Training and Technical Assistance	X	X	X	
Subgrantee Monitoring	Program Overview (Client File Review, Work Orders, etc.)	X	X	Special Investiga-tions	
	Financial / Administration	X		Special Investiga-tions	
	Inventory	X			
	Energy Audits	X	X	X	
	Qualifications and Training			X	
	Weatherization of Units		X		
	Health and Safety	X	X		
	Final Inspections		X		
Financial Monitoring	Financial Management / Accounting Systems and Operations	X		Special Investiga-tions	X
	Audits				X
	Payroll / Personnel	X			X
	Vehicles and Equipment	X			X
	Procurement	X			X
	Sub-awards / Subgrantee Monitoring	X		Special Investiga-tions	
	Invoicing	X		Special Investiga-tions	X
	Records Retention	X			

CSD Training Requirements Matrix
(Rev. 04/07/15)

Courses	Required to be taken by:					Delivery
	Crew	Assessor [1]	Inspector [1]	Field Supervisor	Workforce Trainees [2]	
Optional Assessment						
Basic Skills (pre-employment assessment tool)						CSD Online Training Center
Health and Safety Training [3]						
Workplace Safety	X	X	X	X	X	CSD Online Training Center
Environmental Hazards (Lead-Safe Weatherization, Mold, Asbestos, Regulatory Requirements)	X	X	X	X	X	CSD Online Training Center
HUD-Approved Lead-Safe Weatherization [4]	X	X	X	X	X	Certified Online Course or Certified Third-Party Trainer
OSHA 10	X					Certified Third-Party Trainer
OSHA 30				X		Certified Third-Party Trainer
Prerequisite Training [5]						
Pre-Weatherization	X	X	X	X		CSD Online Training Center
Pre-Combustion Appliance Safety	X [6]	X	X	X		CSD Online Training Center
Pre-Duct Sealing/Blower Door Diagnostics	X [6]	X	X	X		CSD Online Training Center
Weatherization Training						
Basic Weatherization	X	X	X	X		CSD-Approved Training Center
Combustion Appliance Safety	X [6]	X	X	X		CSD-Approved Training Center

Courses	Required to be taken by:					Delivery
	Crew	Assessor [1]	Inspector [1]	Field Supervisor	Workforce Trainees [2]	
Combustion Appliance Safety Field Training [7]						CSD-Approved Field Trainer
Duct Sealing/Blower Door Diagnostics	X [6]	X	X	X		CSD-Approved Training Center
Assessor Training		X		X		CSD-Approved Field Trainer
Inspector Training			X	X		CSD-Approved Field Trainer
EPA Certified Renovator	X [7]	X [7]	X [7]	X [7]		EPA Certified Third Party Trainer
REM/Design Energy Audit Tool		X [8]		X [8]		CSD-Approved Field Trainer
Mechanical Ventilation	X	X	X	X		CSD Online Training Center
Certified Quality Control Inspector [9]			X			DOE Certified Trainer

[1] All required CSD coursework as outlined must be successfully completed before conducting assessments or inspections as a CSD Assessor and/or CSD Inspector.

[2] Program reimbursement will be made for the required online health and safety training for workforce development trainees including Job Corps and CCC. Although all other training can be taken by trainees under this classification, it is not reimbursable by CSD programs.

[3] Health and safety training is required to be taken within 30 days of employment. All health and safety training is a prerequisite and must be successfully completed before registering and taking Weatherization Training.

[4] Only required if performing work on HUD units. Training must be successfully completed prior to work commencing on a HUD unit where lead-based paint is present.

[5] Prerequisite Training must be successfully completed before taking Weatherization Training

[6] Crew members who are going to perform diagnostic tests must successfully complete the Duct Sealing/Blower Door Diagnostics and Combustion Appliance Safety training series before performing these diagnostic tests in the field.

[7] Each agency shall have at least one EPA Certified Renovator on staff. It is at the discretion of the agency to determine which staff members shall be certified.

[8] REM/Design Energy Audit Tool training is not currently required; however, all energy audits must be submitted to CSD for review and approval. Mentoring by CSD technical staff is provided as part of the approval process.

[9] DOE Quality Control Inspector certification must be received before conducting inspections under the DOE Weatherization Assistance Program.

Note: Additional field or enhancement training may be required to address deficiencies if trainee fails to demonstrate appropriate skills and knowledge during a monitored field practice by a CSD inspector, CSD field representative and/or CSD training provider.