

TEXAS DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS
**TDHCA Governing Board Approved Draft of the
2021 Department of Energy (DOE) Weatherization Assistance Program (WAP) State Plan**

Disclaimer

Attached is a draft of the 2021 DOE WAP State Plan that was approved by the TDHCA Governing Board on March 11, 2021. This document, including its preamble, is scheduled to be published in the March 26, 2021 edition of the *Texas Register* and that published version will constitute the official version for purposes of public comment. The version herein is informational only and should not be relied upon as the basis for public comment.

Public Comment

Public Comment Period: Starts: 8AM Austin local time on March 26, 2021 Ends: 5PM Austin local time on April 16, 2021

Comments received after 5PM Austin local time on April 16, 2021, will not be accepted.

Written comments may be submitted, in hard copy/fax or electronic formats to:

Texas Department of Housing and Community Affairs Attn:
Gavin Reid
P.O. Box 13941
Austin, Texas 78711-3941 Fax:
512-475-3935
Email: gavin.reid@tdhca.state.tx.us

Written comments may be submitted in hard copy, fax, or email formats within the designated public comment period. Those making public comment are encouraged to reference the specific draft rule, policy, or plan related to their comment as well as a specific reference or cite associated with each comment.

A public hearing for the Draft 2021 DOE WAP State Plan will be accessible to the public via the web link information below. In order to engage in two-way communication during the hearing, persons must first register (at no cost) to attend the webinar via the link provided. Anyone who calls into the hearing without registering online will not be able to provide comment, but the hearing will still be audible.

Tuesday, April 13, 2021

2 p.m. Austin local time

GoToWebinar

To register: <https://register.gotowebinar.com/register/4596074466209303821>

Dial-in number: +1 (415) 930-5321, access code 452-280-544 (persons who use the dial-in number and access code without registering online will only be able to hear the public hearing and will not be able to provide comment).

Please be aware that all comments submitted to the TDHCA will be considered public information.

TEXAS DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS

Street Address: 221 East 11th Street, Austin, TX 78701

Mailing Address: PO Box 13941, Austin, TX 78711-3941

Main Number: 512-475-3800 Toll Free: 1-800-525-0657

Email: info@tdhca.state.tx.us Web: www.tdhca.state.tx.us

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission:

- Preapplication
 Application
 Changed/Corrected Application

2. Type of Application:

- New
 Continuation
 Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

07/01/2021

4. Applicant Identifier :

5a. Fed Entity Identifier :

5b. Federal Award Identifier :

DE-EE0007952

State Use Only:

6. Date Received by State : 07/01/2021

7. State Application Identifier : TX-W-200

8. APPLICANT INFORMATION:

a. Legal Name: State of Texas

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

742610542

c. Organizational DUNS:

806781902

d. Address:

Street 1: P.O. BOX 13941

Street 2:

City: Austin

County:

State: TX

Province:

Country: U.S.A.

Zip / Postal Code: 787113941

e. Organizational Unit:

Department Name:

Texas Department of Housing and Community Affairs

Division Name:

Community Affairs Division

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

Prefix: Mr First Name: Michael

Middle Name:

Last Name: DeYoung

Suffix:

Title: Community Affairs Division Director

Organizational Affiliation: Texas Dept. of Housing and Community Affairs

Telephone Number: 5124752125

Fax Number: 5124753935

Email: michael.deyoung@tdhca.state.tx.us

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number: DE-WAP-

0002021

Title:

2021 Weatherization Assistance Program

13. Competition Identification Number:

Title:

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

Statewide

15. Descriptive Title of Applicant's Project:

Provide Statewide Weatherization Assistance

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: Texas Congressional District 01

b. Program/Project: TX-Statewide

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

17. Proposed Project:

a. Start Date: 07/01/2021

b. End Date: 06/30/2022

18. Estimated Funding (\$):

a. Federal	7,908,820.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	7,908,820.00

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

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

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

No

21. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to**

I AGREE

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

Authorized Representative:

Prefix: Mr First Name: Bobby
Middle Name:
Last Name: Wilkinson
Suffix:

Title: Executive Director

Telephone Number: 5124753296

Fax Number:

Email: bobby.wilkinson@tdhca.state.tx.us

Signature of Authorized Representative: Signed Electronically

Date Signed:

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007952		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Texas P.O. BOX 13941 Austin, TX 787113941		4. Program/Project Start Date 07/01/2021	5. Completion Date 06/30/2022

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE WAP Formula Funds	81.042	\$ 2,575,000.00		\$ 7,908,820.00		\$ 10,483,820.00
2.						
3.						
4.						
5. TOTAL		\$ 2,575,000.00	\$ 0.00	\$ 7,908,820.00	\$ 0.00	\$ 10,483,820.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRA TION	(2) SUBGRANTE E ADMINISTRA	(3) GRANTEE T&TA	(4) SUBGRANTE E T&TA	
a. Personnel	\$ 200,520.00	\$ 0.00	\$ 210,570.00	\$ 0.00	\$ 411,090.00
b. Fringe Benefits	\$ 69,781.00	\$ 0.00	\$ 73,278.00	\$ 0.00	\$ 143,059.00
c. Travel	\$ 0.00	\$ 0.00	\$ 27,720.00	\$ 0.00	\$ 27,720.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 3,000.00	\$ 0.00	\$ 2,000.00	\$ 0.00	\$ 5,000.00
f. Contract	\$ 0.00	\$ 706,274.00	\$ 134,000.00	\$ 550,000.00	\$ 9,692,655.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 14,000.00	\$ 0.00	\$ 3,250.00	\$ 0.00	\$ 17,250.00
i. Total Direct Charges	\$ 287,301.00	\$ 706,274.00	\$ 450,818.00	\$ 550,000.00	\$ 10,296,774.00

j. Indirect Costs	\$ 91,237.00	\$ 0.00	\$ 95,809.00	\$ 0.00	\$ 187,046.00
k. Totals	\$ 378,538.00	\$ 706,274.00	\$ 546,627.00	\$ 550,000.00	\$ 10,483,820.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Previous Edition Usable

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
 Prescribed by OMB Circular A-102
 OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007952		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Texas P.O. BOX 13941 Austin, TX 787113941		4. Program/Project Start Date 07/01/2021	5. Completion Date 06/30/2022

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.						
2.						
3.						
4.						
5. TOTAL		\$ 2,575,000.00	\$ 0.00	\$ 7,908,820.00	\$ 0.00	\$ 10,483,820.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 411,090.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 143,059.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 27,720.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 5,000.00
f. Contract	\$ 6,932,017.00	\$ 1,223,297.00	\$ 125,067.00	\$ 22,000.00	\$ 9,692,655.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 17,250.00
i. Total Direct Charges	\$ 6,932,017.00	\$ 1,223,297.00	\$ 125,067.00	\$ 22,000.00	\$ 10,296,774.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 187,046.00
k. Totals	\$ 6,932,017.00	\$ 1,223,297.00	\$ 125,067.00	\$ 22,000.00	\$ 10,483,820.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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

(Grant Number: EE0007952, State: TX, Program Year: 2021)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Alamo Area Council of Governments (San Antonio)	\$775,891.00 108
BakerRipley (Houston)	\$1,175,603.00 168
Big Bend Community Action Committee (Marfa)	\$145,934.00 16
Brazos Valley Community Action Program (College Station)	\$320,679.00 40
Combined Community Action, Inc. (Giddings)	\$216,011.00 26
Community Action Committee of Victoria Texas (Victoria)	\$291,687.00 36
Community Action Corporation of South Texas (Alice)	\$1,050,419.00 149
Community Council of South Central Texas, Inc (Seguin)	\$199,242.00 24
Concho Valley Community Action Agency (San Angelo)	\$182,769.00 21
Dallas County Health & Human Services (Dallas)	\$748,175.00 105
Economic Opportunities Advancement Corporation (Waco)	\$275,782.00 34
El Paso Community Action Program, Project Bravo (El Paso)	\$433,577.00 56
Fort Worth, City of (Fort Worth)	\$464,804.00 61
Greater East Texas Community Action Program (Nacogdoches)	\$867,793.00 123
Hill Country Community Action Association, Inc. (San Saba)	\$263,357.00 31
Nueces County Community Action Agency (Corpus Christi)	\$165,682.00 19
Panhandle Community Services (Amarillo)	\$267,945.00 33
Rolling Plains Management Corporation (Crowell)	\$408,350.00 53
South Plains Community Action Association, Inc. (Levelland)	\$244,531.00 30
Texoma Council of Governments (Sherman)	\$501,609.00 66
Travis County Health and Human Services and Veterans Services (Austin)	\$293,543.00 37
West Texas Opportunities (Lamesa)	\$265,272.00 33
Total:	\$9,558,655.00 1,269

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

WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007952, State: TX, Program Year: 2021)

IV.2 WAP Production Schedule

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

Weatherization Plans	Units	
		1,269
Total Units (excluding	1,269	reweatherized)
		0
Reweatherized Units		0

Average Unit Costs, Units subject to DOE Project Rules
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)
 A Total Vehicles & Equipment (\$5,000 or more) Budget \$0.00
 B Total Units Weatherized 1,269
 C Total Units Reweatherized 0
 D Total Dwelling Units to be Weatherized and Reweatherized (B + C) 1,269
 E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D) \$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)
 F Total Funds for Program Operations \$6,932,017.00
 G Total Dwelling Units to be Weatherized and Reweatherized (from line D) 1,269
 H Average Program Operations Costs per Unit (F divided by G) \$5,462.58
 I Average Vehicles & Equipment Acquisition Cost per Unit (from line E) \$0.00
 J Total Average Cost per Dwelling (H plus I) \$5,462.58

IV.3 Energy Savings

Method used to calculate saving WAP algorithm Other (describe below)

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	1269	29.3	37182
Prior Year Estimate	0	29.3	0
Prior Year Actual	0	29.3	0

Method used to calculate savings description:

IV.4 DOE-Funded Leveraging Activities

N/A

IV.5 Policy Advisory Council Members

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

Combined Community Action Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Kelly Franke Phone: (979)540-2985 Email: KJFranke@ccaction.com
Greater East Texas Community Action Program	Type of organization: Non-profit (not a financial institution) Contact Name: Karen Swenson, Executive Director Phone: (936)564-2491 Email: kswenson@sbcglobal.net

Health and Human Services Commission

Type of organization: Unit of State Government
Contact Name: Gina Carter
Phone: 5124366627
Email: gina.carter@hhsc.state.tx.us
Type of organization: Indian Tribe

DOE F 540.2
(08/05)

OMB Control No: 1915-127
Expiration Date: 05/31/2023

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

(Grant Number: EE0007952, State: TX, Program Year 2021)

Ysleta Del Sur Pueblo Indian Reservation

Contact Name: Albert Alvidrez
Phone: 9158344925
Email: albert.alvidrez@tdhca.state.tx.us

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

Date Held Newspapers that publicized the hearings and the dates the notice ran

03/11/2021 TDHCA Board of Directors authorizes release of draft State Plan for public comment.

03/12/2021 Draft State Plan and notice of public hearing posted on the TDHCA website; public listserve announcement sent announcing availability of draft State Plan and public hearing details.

03/26/2021 Announcement of public hearing for draft State Plan published in Texas Register. Public comment period for draft State Plan begins.

04/13/2021 Public Hearing Webinar for the DOE State Plan begins at 2:00 pm (CST). Conducted virtually in accordance with DOE guidance as a result of the COVID19 pandemic.

04/16/2021 Comment period for the DOE State Plan ends at 5:00 pm (CST).

04/16/2021 WAPAC meeting regarding DOE State Plan.

05/13/2021 Final DOE State Plan and list of awardees presented at TDHCA Board of Directors meeting for approval. The meeting also serves as a Public Hearing.

IV.7 Miscellaneous

Recipient Business Officer

Michael De Young
Michael.deyoung@tdhca.state.tx.us
221 East 11th Street
Austin, Texas 78701
(512) 475-2125

Recipient Principal Investigator

Gavin Reid
gavin.reid@tdhca.state.tx.us
221 East 11th Street
Austin, Texas 78701
(512) 936-7828

Policy Advisory Council

The Weatherization Assistance Program Policy Advisory Council (PAC) currently has four slots and is representative of organizations and agencies and provides balance, background, and sensitivity with respect to solving the problems of low-income persons, including weatherization and energy conservation problems. The PAC meets annually at the end of the public hearing period to discuss the DOE plan and comments received.

Two of the slots, filled by the PAC members from Combined Community Action and the Greater East Texas Community Action Program, represent the low-income, elderly, and disabled population. The third slot, filled by the PAC member from the Health and Human Services Commission, represents the

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

low-income, elderly and persons with disabilities. A fourth slot representing Native Americans is occupied by a member of the Ysleta Del Sur Pueblo-Tigua Indian Reservation.

Liability Insurance

The liability insurance separate line item includes pollution occurrence insurance in addition to the general liability insurance. Most regular liability insurance policies do not provide coverage for potential effects of many health and safety measures, such as lead disturbances and other pollution occurrence items. The Department strongly recommends the Subgrantees require their contractors to carry pollution occurrence insurance to avoid liability for any mistakes the contractors may make. Each Subgrantee should get a legal opinion regarding the best course to take for implementing the pollution occurrence insurance coverage.

2019 ACSI Action Plan (based on 2019 Survey)

After receiving the results of the 2019 ACSI Survey, TDHCA met with the Texas Association of Community Action Agencies (TACAA), representing the network of WAP Subgrantees, to analyze and discuss the results. With TACAA's input, TDHCA worked out a plan of action to address the concerns raised in the 2019 Survey. The action plan, updated in December 2020, includes the following:

1. Provide four separate opportunities to comment on the DOE State Plan to include 1) a two week period of time to provide comments on the Plan before the Department begins drafting the Plan, 2) an informal two week period to comment on the draft Plan before going to the more formal public comment period, 3) the formalized public comment process lasting 25 days, and 4) a public hearing.

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007952, State: TX, Program Year: 2021)

2. To enhance the network's familiarity with the Plan, before the formal public comment period closes the Department will explain the importance of the Plan, the reason for the Plan, and the different sections of the Plan to the network during one of the regular WAP network webcalls or via a stand-alone webinar.
3. After the DOE Plan has been approved and submitted to DOE, the Department will survey the network asking for their feedback on the Plan development process and asking for suggestions on how to improve the plan process.
4. To ensure contracts are received and executed in time, Department staff will modify internal mechanisms so that boiler contract templates will be routed earlier.
5. Increased training opportunities and individualized Training and Technical Assistance to be provided from a highly qualified WAP trainer (i.e., Chad Turner).
6. To improve communication, the Department will request feedback from monitored subgrantees by sending out a Post Monitoring Services survey after each monitoring visit.
7. To address cost allocation issues, the Department will seek out and fund training opportunities provided via third party consultants familiar with State of Texas and federal regulations.
8. Provide assistance to subgrantees on how to obtain individualized comprehensive/specific training and certifications from IREC accredited training facilities.
9. Develop and implement technical courses to increase performance and expenditures.
10. Continue to collaborate with the Compliance Division to develop guidance for subgrantees and to identify training needs amongst both individual subgrantees and the network as a whole.
11. To improve consistency, Program and Compliance staff will continue to discuss rising issues and trends within the WAP network.
12. To improve communication, disseminate to all levels a WAP E-Newsletter to provide important WAP announcements, program updates, and training opportunities as information becomes available.
13. Include all WAP staff at each Subgrantee on WAP emails to ensure information reaches all levels.
14. Continue to update and maintain the TDHCA website regarding WAP best practices and information received from the federal and state levels. TDHCA notifies the network of updates either through a network email and/or within the WAP E-Newsletter.
15. To assist with increasing certifications within the network, the Department will continue to make available a proctor for QCI testing.
16. Continue to host regularly scheduled network webcalls, provide training for new program managers and new Executive Directors, and individual agency trainings that are personalized to the specific needs of a subgrantee.

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

(Grant Number: EE0007952, State: TX, Program Year: 2021)

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

Eligibility for program assistance is determined under the Federal Poverty Income Guidelines and calculated as described in 10 TAC §6.4.

Describe what household eligibility basis will be used in the Program

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

(Grant Number: EE0007952, State: TX, Program Year: 2021)

During the application process, households will be screened for DOE Weatherization benefits and determined eligible if their income is at or below 200% of the Federal Poverty Income Guidelines.

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

The Welfare Reform Act, officially referred to as the Personal Responsibility and Work Opportunity Act of 1996, H.R. 3734, placed specific restrictions on the eligibility of aliens for "Federal means-tested public benefits" for a period of five years. As defined in a Federal Register notice dated August 26, 1997 (62 FR 45256) the Department of Health and Human Services (HHS) is interpreting "Federal means-tested public benefits" to include only those benefits provided under Federal means-tested, mandatory spending programs. HHS Information Memorandum LIHEAP-IM-25 dated August 28, 1997, states that all qualified aliens, regardless of when they entered the U.S., continue to be eligible to receive assistance and services under the Low-Income Home Energy Assistance Program (LIHEAP) if they meet other program requirements.

To ensure program continuity between LIHEAP and DOE Weatherization for all Subgrantees operating both programs, the DOE Weatherization Assistance Program will follow the interpretation as adopted by HHS. The Department has provided training and will continue to provide training to those Subgrantees who have elected to use the SAVE system to verify legal status.

The DOE and LIHEAP WAP are in compliance with LIHEAP-IM-99-10, issued June 15, 1999, which states that weatherization in a multifamily building is not a covered activity for status verification.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Subgrantees maintain a client file for each unit weatherized, including documented proof that the Dwelling Unit is an eligible Dwelling Unit as defined in 10 CFR §440.22. The Department verifies that weatherized units have eligibility documentation during monitoring reviews.

Describe Reweathering compliance

Texas permits reweatherization of a unit if 15 years have passed from the unit's previous weatherization completion date in accordance with the Consolidated Appropriations Act of 2021 below. Otherwise, a unit may only be re-weatherized if such dwelling unit has been damaged by fire, flood, or an act of God and repair of the damage to weatherization materials is not paid for by insurance, per 10 CFR §440.18(f)(2)(ii).

Language from the Consolidated Appropriations Act of 2021 (Page 3269):

AMENDING RE-WEATHERIZATION DATE.—Paragraph (2) of section 415(c) of the Energy Conservation and Production Act (42 U.S.C. 6865(c)) is amended to read as follows:

(2) Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other Federal programs (in this paragraph referred to as 'previous weatherization'), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other Federal programs, or from receiving non-Federal assistance for weatherization.'

Previously Weatherized Home Tracking Procedure

Previously weatherized homes and their completion dates are recorded and tracked in the TDHCA Community Affairs Contract System by subgrantees and verified by TDHCA through monitoring.

Describe what structures are eligible for weatherization

10 TAC §6.2 and §6.403 includes the following definitions which describe structures eligible for weatherization:

Dwelling Unit--A house, including a stationary mobile home, an apartment, a group of rooms, or a single room occupied as separate living quarters. (This is the same as the definition for Dwelling Unit in 10 CFR §440.3 Definitions)

Multifamily Dwelling Unit--A structure containing more than one Dwelling Unit.

Rental Unit--A Dwelling Unit occupied by a person who pays rent for the use of the Dwelling Unit.

Shelter--A Dwelling Unit or Units whose principal purpose is to house on a temporary basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

Single Family Dwelling Unit--A structure containing no more than one Dwelling Unit.

Buildings with more than one Dwelling Unit under one roof must follow 10 TAC §6.414, Eligibility for Multifamily Dwelling Units and Shelters.

Describe how Rental Units/Multifamily Buildings will be addressed

In accordance with 10 CFR §440.22(b)(3), the Department requires that Subgrantees keep on file procedures that address protection of renters' rights, to ensure:

- Written permission of the building owner or his agent before commencing work.
- Cash/in-kind contribution from building owner when feasible.
- Benefits of the services accrued primarily to the low-income tenants residing in such units.
- For a reasonable period of time after completion, the household will not be subjected to rent increases (unless those increases are demonstrably related to other matters other than the weatherization work performed).
 - There are adequate procedures whereby the Grantee can receive tenant complaints and owners can appeal, should rental increases occur.
- No undue or excessive enhancement shall occur to the value of the Dwelling Unit.
- To secure the federal investment and to address issues of eviction from and sale of property, per 10 CFR §440.22(c), Grantees may seek landlord agreement to placement of a lien (or other contractual restrictions) upon the property being weatherized.

The Department will abide by 10 CFR §440.22, ensuring that not less than 66% of the eligible building units (50% for duplexes and four-unit buildings, and certain eligible types of large multifamily buildings) are dwelling units occupied by low-income households, or will become occupied by low-income households, within 180 days under a Federal, State or local government program for rehabilitating the building or making similar improvements. WPN 16-5 provides guidance on the review and verification required for Department of Housing and Urban Development (HUD), Department of Agriculture (USDA), and Low Income Housing Tax Credit (LIHTC) buildings. Assessments and client file documentation for rental units and multifamily units are also detailed in the

Multifamily Weatherization Best Practice posted on the Department's website at:

<https://www.tdhca.state.tx.us/community-affairs/wap/wap-best-practices.htm>

In order to weatherize large multifamily buildings containing 25 or more dwelling units or those with shared central heating (e.g., boilers) and/or shared cooling plants (e.g., cooling tower that use water as the coolant) regardless of the number of dwelling units, Subgrantees must obtain prior written approval through the

Department. When necessary, the Department will seek DOE approval.

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

(Grant Number: EE0007952, State: TX, Program Year: 2021)

**U.S. Department of Energy
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Subgrantees must submit to the Department a request for approval to weatherize large multifamily buildings. Request for permission must include evidence of significant energy savings because of upgrades to equipment, energy systems, common space, or the building shell. A significant energy savings is defined as having an SIR of 1.0 or greater in the energy audit.

Describe the deferral Process

A Dwelling Unit shall not be weatherized when there is a potentially harmful situation that may adversely affect the occupants or the Subgrantee's weatherization crew and staff, or when a Dwelling Unit is found to have structural concerns that render the Dwelling Unit unable to benefit from weatherization. The Subgrantee must declare their intent to defer weatherization on an eligible unit on the assessment form. The assessment form must include the client's name and address, dates of the assessment, and the date on which the client was informed of the issue in writing. The written notice to the client must include a clear description of the problem, conditions under which weatherization could continue, the responsibility of all parties involved, and any rights or options the client has. A copy of the notice must be given to the client, and a signed copy placed in the client application file. Only after the issue has been corrected to the satisfaction of the Subgrantee shall weatherization work begin.

If structural concerns or health and safety issues identified (which would be exacerbated by any weatherization work performed) on an individual unit cannot be abated within program rules or within the allowable WAP limits, the unit exceeds the scope of this program.

Crewmembers or contractors who work on a unit that could or should be a deferral or walk-away do so at their own risk.

V.1.3 Definition of Children

Definition of children (below age): **19**

V.1.4 Approach to Tribal Organizations

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

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

The 70th Texas Legislature created the Native American Restitutionary Program (Oil Overcharge Restitutionary Act, Texas Government Code, Chapter 2305) for the purposes of providing oil overcharge restitution to Texas Native Americans. In the Texas WAP, the Native-American Indian population is treated and served in the same manner as other applicants.

V.2 Selection of Areas to Be Served

The Texas WAP is available to eligible low-income households in all 254 counties of the state. Subgrantees are held responsible for all intake, eligibility, and weatherization activities. If the Subgrantee's performance record is satisfactory according to both state and federal regulations, then the Department may offer to renew the contract if the Subgrantee so desires. The Department's award committee may decline to recommend an award or place conditions on an award based upon its previous participation review as outlined in 10 TAC §1.302.

New or additional DOE subgrantees for counties that become unserved by the DOE WAP will be selected according to DOE regulations found in 10 CFR§440.15 and 10 TAC §1.302. If the Department determines it is necessary to permanently reassign a service area to a new subgrantee, the subgrantee will be chosen in accordance with 10 CFR §440.15 and 10 TAC §1.411. A new or additional subgrantee is defined as a CAA or other public or nonprofit entity that is not currently operating a Department-funded Weatherization Assistance Program. All counties are served by 22 Subgrantees.

The Department may deobligate all or part of the funds provided under this contract as outlined in 10 TAC §6.405 and 10 TAC §1.411. A Subgrantee's failure to expend the funds provided under this State plan in a timely manner may also result in the Subgrantee's ineligibility to receive additional funding during the program year.

Formula Distribution

The Department updates the budget allocation proportion by county and Subgrantee based on poverty income, elderly poverty, median household income (from

the most recent decennial U.S. Census data), and climate data (from the National Climatic Data Center, Climate Normals, 2010), as outlined in 10 TAC §6.404.

The Department allocates funds to Subgrantees by applying a formula based upon the DOE allocation for program year; or if the allocation amount is not known, based on an assumption of level funding from the previous program year. Once the allocation amount is known, the formula is re-run. The allocation formulas reflect the most recent decennial U.S. Census data. If any carryover funds are available, they will be distributed by allocation formula and used to increase the number of units to be weatherized. The Department will adjust guidance to reflect the adjusted average expenditure limit per unit for the program year.

The fund allocations for individual service areas are determined by a 5-factor distribution formula as outlined in 10 TAC §6.404:

- (1) Number of non-elderly poverty households per county;
- (2) Number of elderly poverty households per county;
- (3) Median income variance per county;
- (4) Inverse poverty household density ratio per county; and
- (5) County Weather Factor (Heating/Cooling Degree days per county) as a portion of State County Weather.

V.3 Priorities

The Department will ensure by contract that its Subgrantees give priority to weatherizing dwellings owned or occupied by low-income persons who are particularly vulnerable such as the Elderly, Persons with Disabilities, Families with Young Children, Households with High Energy Burden, and Households with High Energy Consumption. Applicants from these groups must be placed at the top of a Subgrantee's waiting list. The Department ensures that Subgrantees give proper attention to these requirements through monitoring/evaluation of the Subgrantee.

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V.4 Climatic Conditions

The climatic conditions for the State of Texas are imbedded in the algorithms of the Weatherization Assistant (WA 8.9) energy audit software developed by the Oak Ridge National Laboratory for the Department of Energy. As part of the energy audit modeling, the Department requires the Subgrantee network to select the nearest weather station to the dwelling units. The Weather files imbedded in the WA 8.9 contains 30 year data of Heating and Cooling degree days for each weather station.

As described in the report prepared by the Pacific Northwest National Laboratory for the Department of Energy, the state of Texas has several IECC climate zones. https://www.energy.gov/sites/prod/files/2015/10/f27/ba_climate_region_guide_7.3.pdf

These climate zones are used as an aid in helping Subgrantees to identify the appropriate climate designation for the counties in which they are providing WAP services. In addition to prescribing appropriate mechanical equipment (example of climate specific measures would be evaporative cooling which may be prescribed in the Hot Dry climate of Texas and not in the Mixed Humid part of Texas) the IRC prescriptive thermal envelope of measures are different. The climate zones found in Texas are as follows:

1. Hot-Humid

A hot-humid climate is defined as a region that receives more than 20 inches (50 cm) of annual precipitation and where one or both of the following occur:

- A 67°F (19.5°C) or higher wet bulb temperature for 3,000 or more hours during the warmest six consecutive months of the year; or
 - A 73°F (23°C) or higher wet bulb temperature for 1,500 or more hours during the warmest six consecutive months of the year.
- IRC Prescriptive Thermal Envelope Measures:

Zone 2A
Ceiling R 38

Zone 3A
R38

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Windows	U 0.40	U 0.35
Walls	R13	R13 + 5
Floors	R13	R19
SHGC	0.25	0.25

2. Hot-Dry

A hot-dry climate is defined as a region that receives less than 20 inches (50 cm) of annual precipitation and where the monthly average outdoor temperature remains above 45°F (7°C) throughout the year.

IRC Prescriptive Thermal Envelope Measures:

Zone 3B

Ceiling	R38
Windows	U 0.35
Walls	R13 + 5
Floors	R19
SHGC	0.25

3. Mixed-Humid

A mixed-humid climate is defined as a region that receives more than 20 inches (50 cm) of annual precipitation, has approximately 5,400 heating degree days (65°F basis) or fewer, and where the average monthly outdoor temperature drops below 45°F (7°C) during the winter months. IRC Prescriptive Thermal Envelope Measures:

Zone 3A

Ceiling	R38
Windows	U 0.35
Walls	R13 + 5
Floors	R19
SHGC	0.25

4. Mixed-Dry

A mixed-dry climate is defined as a region that receives less than 20 inches (50 cm) of annual precipitation, has approximately 5,400 heating degree days (50°F basis) or less, and where the average monthly outdoor temperature drops below 45°F (7°C) during the winter months. IRC Prescriptive Thermal Envelope Measures:

Zone 4

Ceiling	R49
Windows	U 0.35
Walls	R13 + 5
Floors	R19
SHGC	0.40

In addition to the 2015 IRC adopted by the State of Texas, several individual cities have adopted amendments to the code. The adoption and amendments to the 2015 IRC impact the WA 8.9 energy audits in that cities are required to evaluate user defined measures to meet the codes adopted by each individual city.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Technical Guides and Materials

All technical guides (for all single family, mobile home, and multifamily buildings) and materials meet the specifications, objectives and desired outcomes outlined in the Standard Work Specifications (SWS). Provided below is an electronic link to all the current, DOE approved field guides

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and/or standards for single family, mobile homes, and multifamily buildings as well as all other relevant program guidance materials. These materials are available to all Subgrantees and contractors at any time.

<https://www.tdhca.state.tx.us/community-affairs/wap/guidance.htm>

Further, the Department has several Weatherization Best Practices posted at:
<https://www.tdhca.state.tx.us/community-affairs/wap/wap-best-practices.htm>

Best practices are developed based upon repeat questions that require more clarity than an FAQ. These have proved highly effective in multiple ways: increased compliance, better understanding on how to assess and proceed, increased consistency across the Network, and reduction in calls for same issues. They often have multiple references and are based upon sound building science principles.

Materials and Work Standards

Subgrantee will include the substance of this section in all subcontracts.

- A. Subrecipient shall weatherize eligible dwelling units using only weatherization materials which meet or exceed the standards prescribed by DOE in Appendix A of 10 CFR Part 440 and added approved materials noted in WPN 19-4.
- B. All weatherization measures installed shall meet or exceed the standards prescribed by DOE in WPN 15-4 regarding Standard Work Specifications, as detailed in the Department's Standard Work Specifications. All Subrecipient agreements and vendor contracts contain language which clearly documents the SWS specifications for work quality outlined in WPN 15-4, Section 2. A signed contract shall confirm that the organization understands and agrees to these expectations.
- C. All weatherization work must be performed in accordance to the DOE approved energy audit procedures, 10 CFR Part 440 Appendix A, State of Texas adopted International Residential Code (or that of jurisdictions authorized by State law to adopt later editions).

Field guide types approval dates

Single-Family:
Manufactured Housing:
Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: Other (specify)
NEAT: DOE approved June 2, 2016 NEAT: On October 20, 2020, DOE approved June 2, 2021 to June 2, 2026.
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: Other (specify)
MHEA: DOE approved June 2, 2016 MHEA: On October 20, 2020, DOE approved June 2, 2021 to June 2, 2026.
Approval Date:

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Audit Procedure: Multi-Family

Audit Name: Other (specify)

NEAT: 5-24 individually heated and cooled units - DOE approved June 2, 2016, and June 2, 2021, to June 2, 2026. For Multifamily buildings of 25 units or more the Department will seek DOE approval prior to the installation of any weatherization measures.

Approval Date:

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Comments

On October 20, 2020, TDHCA received DOE approval for the State of Texas Energy Audit Procedures (i.e., the National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit (MHEA) for Site-Built Single Family, Manufactured, and Small Multifamily Housing for the WAP, effective June 2, 2021 and expiring June 2, 2026. Additionally, TDHCA received approval to utilize Refrigerators and General Heat Waste Measures (i.e., Low Faucet aerators (1.0 gpm or less) and Furnace/Air Conditioner Filters) which were not listed in 10 CFR 440 Appendix A. TDHCA had already received approval on July 1, 2016 to utilize LEDs which were not listed in 10 CFR 440 Appendix A.

To comply with the requirement outlined in WPN 19-4 (Section 2), once the updated version of the NEAT and MHEA audit tool (version 10) is migrated to the web and approved for use by DOE, TDHCA will transition fully to the online version (v10) in PY21. To aid in the transition and address energy audit modeling concerns noted from the recent DOE monitoring TDHCA is planning to coordinate with an IREC accredited training center to provide Comprehensive Training which will at minimum cover WA v10 setup/use. Projected transition/T&TA timeline targets are as follows:

- April 2021
 - Review Conversion Curriculum when released to aid in determining what will be required to convert to WA v10
- September 2021
 - Review Core Curriculum once released and start coordination with IREC training facility to develop the Comprehensive Training which will at minimum cover WA v10 setup/use
 - Review COVID status to determine best suited training delivery method, i.e. virtual, regional classroom, network-wide classroom, or combination and projected time frame to determine if adjustments are necessary
- October-November 2021
 - Development of the WA v10 Comprehensive Training and materials
- December 2021
 - Review Comprehensive Training & finalize implementation plan/schedule
- Jan-March 2022
 - Provide Comprehensive Trainings in joint coordination with IREC approved facility and implement the new WA v10 energy audit for all twenty two (22) subgrantees as outlined in the implementation plan/schedule determined in Dec.
- Feb-April 2022
 - Conduct a series of in-person/virtual meetings to clarify any questions and provide any needed additional T&TA.

V.5.3 Final Inspection

The Department has provided Subgrantees with sufficient T&TA funding to obtain and/or maintain required QCI and MF-QCI certifications by an IREC certified training provider. The Department tracks Subgrantee compliance with unit inspection requirements of WPN 15-4.

The Department has six certified QCI staff who maintain their certifications. The Department annually requires all Subgrantees to report the following for determining the number of units that the Department will inspect for compliance at each agency:

Option 1 (at minimum 5% compliance final inspection required): The Subgrantee will NOT allow the QCI staff member (or third party QCI) who conducts the Final

Inspection on any DOE funded/reported unit to perform any other aspect(s) associated with that same unit. E.g., Initial Assessment, NEAT Audit, Work Order, etc.

Option 2 (10% compliance final inspection required): The Subgrantee will have a QCI staff member conduct the Final Inspection on every DOE funded/reported unit AND will also perform other aspect(s) associated with that same unit. E.g., Initial Assessment, NEAT Audit, Work Order, etc.

NOTE: As scheduling permits, compliance will conduct 10% final inspections on completed units for Option 1 as well.

TDHCA survey's the WAP network annually to determine which option is appropriate for each Subgrantee while developing the monitoring schedule. Prior to conducting an onsite monitoring, the option will be verified to ensure an adequate number of units are inspected.

All units are inspected by a certified QCI. In addition to final inspections, a completed QCI Final Inspection Certification Form is required. The form can be found at: <https://www.tdhca.state.tx.us/community-affairs/wap/guidance.htm>.

Subgrantees are required to follow work standards as per the SWS guidelines. This requirement is within Subgrantee contracts, and the SWS guide is posted on the Department's WAP Program Guidance Webpage at <https://www.tdhca.state.tx.us/community-affairs/wap/guidance.htm>

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All units must meet DOE requirements and pass a QCI inspection. Any unit that fails to be brought into compliance results in disallowed costs and a finding for the reason(s) of the disallowed cost is issued in the monitoring report. The initial T&TA is provided by training staff with email guidance providing resources to resolve

the findings. This is then followed by individualized T&TA, or a referral to the appropriate Comprehensive training provider, as deemed appropriate.

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V.6 Weatherization Analysis of Effectiveness

Pursuant to 10 TAC, Chapter 1, Subchapter C, §1.302, a review of a Subgrantee's compliance history in Department programs must be approved by the Department's Executive Award and Review Advisory Committee (EARAC) and provided to the Department's Board of Directors in order that the Board may consider the compliance history and make and document its award decisions with full knowledge of these matters. Prior to the award of DOE funds to any Subgrantee, EARAC reviews:

1. Deficiencies, Findings and Concerns identified during the last three years; and
2. If the Subgrantee is subject to the requirement of an annual single audit:
 - A. Single Audit status, any findings noted in the Single Audit, and the recommendation of the Single Audit Committee;
 - B. Any changes in debarment status;
 - C. Complaint History for the applicant

The Compliance Division submits the results of the information noted above to EARAC. If EARAC finds that a Subgrantee has outstanding monitoring or Single Audit issues, their WAP award may be subject to conditions intended to avoid future noncompliance, and limit disallowed costs.

Additionally and in a separate process, T&TA staff are copied on all monitoring reports and/or a staff meeting is held for monitors to debrief T&TA staff after each visit. In those meetings, monitoring staff relay issues found related to the Subgrantee as well as overall trends identified. Following the monitoring report, T&TA staff provide an initial email to the Subgrantee to provide resources for identified issues. T&TA staff applies this debrief information when determining the needs for agency wide specific T&TA and to plan the training curriculum.

Further, Subgrantee performance is reviewed periodically and at the end of the program year. The Department tracks subgrantee performance over time by reviewing their monthly production and expenditure reports. Subgrantees are required to submit a Production Report on the 15th of each month. If staff determines that a benchmark is missed or a Subgrantee is falling behind on expenditure and/or production, a letter is issued from the Department and the subgrantee is required to submit a written Mitigation Action Plan according to 10 TAC §6.405.

Additionally, based upon monthly submitted performance and expenditure reports, individualized TA is provided to ensure full expenditure and an adequate rate of production. T&TA staff analyze the reports submitted by subgrantees and provide T&TA when necessary. Such T&TA may include a course on production oriented management, proper reporting, procurement, and/or other relevant topics.

Analysis of reports includes the following:

- Number of homes completed;
- Number of applications pending;
- Number of homes in progress;
- Contract amount;
- Total funds expended;
- Balance of funds; and
- Special comments

The Department enforces the Deobligation/Reobligation of Awarded Funds rule as laid out in 10 TAC §6.405. While the Department's performance review process has not achieved full expenditure of funds each Program Year (e.g., PY 2017 due to Hurricane Harvey), the Department continuously assesses its processes and researches potential modifications in order to improve. For example, the Department has a Program Specialist who is tasked with the responsibility of overseeing the performance and expenditure report and production schedule process and to provide technical assistance to individual subrecipients who are on the pathway to nonexpenditure of the full amount of their allocation.

V.7 Health and Safety

Attached to SF-424

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V.8 Program Management

V.8.1 Overview and Organization

The Department is the state's lead agency responsible for affordable housing and community assistance programs. The Department annually administers funds derived from mortgage revenue bond financing and refinancing, federal grants, and federal tax credits.

In 1991, the 72nd Texas Legislature created the Department. The Department's enabling legislation combined programs from the Texas Housing Agency, the Community Development Block Grant Program from the Texas Department of Commerce, and the Texas Department of Community Affairs.

On September 1, 1992, two programs were transferred to the Department from the Texas Department of Human Services: the Low Income Home Energy Assistance Program and the Emergency Nutrition and Temporary Emergency Relief Program. Effective September 1, 1995, in accordance with House Bill 785, regulation of manufactured housing was transferred to the Department. In accordance with House Bill 7, effective September 1, 2002, the Community Development Block Grant and Local Government Services Programs were transferred to the newly created Office of Rural Community Affairs. Effective September 1, 2002, in accordance with Senate Bill 322, the Manufactured Housing Division became an independent entity administratively attached to TDHCA. As a state agency, the Department is under the authority of the Governor of the State of Texas.

The Department's services are offered through three program categories: Single Family Programs, Multifamily Finance Production, and Community Affairs, which administers the WAP.

The Department subcontracts with a network of Subgrantees that provide WAP services. The network is comprised of community action agencies (CAAs), regional Councils of Government (COGs), and organizations in the other public or private nonprofit entity category. All network Subgrantees are provided a draft copy of the yearly weatherization state plan and a notice of the state public hearing. The public and all Subgrantees are invited and encouraged to participate in the public comment process.

Historically, the regular weatherization program year ran from April through March. Starting PY 2015, the weatherization program year has run from July through June.

The Department will continue to administer the program through Subgrantees in accordance with 10 CFR §440.15 provisions and State regulations. If existing Subgrantees are successfully administering the Program, the Department will offer to renew the contract if the Subgrantee so desires and if grant funds are available. When the Department determines that an organization is not administering the program satisfactorily, it may take the following action:

- Correction of the problem(s) with training or technical assistance;
- Reassignment of the service area (or service area portion) to another existing Subgrantee; or,
- Solicitation or selection of a new or additional Subgrantee in accordance with 10 CFR §440.15 provisions.

A new or additional Subgrantee is defined as a CAA or other public or nonprofit entity that is not currently operating a DOE Weatherization Assistance Program.

Consolidation/downsizing: Any downsizing will occur through normal attrition through a Subgrantee's determination that it can no longer administer the program efficiently/effectively, or through the Department's determination that a Subgrantee can no longer administer the program efficiently/effectively.

Reassignment of service areas for just cause: In the event that a service area can no longer be served by a Subgrantee, the Department reserves the right to reassign service areas. If it appears necessary to permanently reassign the service area, a new Subgrantee may be chosen in an open, competitive solicitation process in accordance with 10 CFR §440.15.

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V.8.2 Administrative Expenditure Limits

The Department will use 5% of its grant funds for state administration. An additional 7.5% will be distributed for local WAP field operations under contract. Contract funds are intended for local administration, liability insurance coverage, local fiscal audit, materials, labor, program support and health and safety measures. To help ensure that Subgrantees comply with the full and proper use of all the contract funds, written definitions are to be provided to Subgrantees on budget categories as deemed necessary. The Department has elected to provide the maximum allowable funds for Subgrantee administration to Subgrantees

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receiving less than \$350,000, so it has not included procedures for deciding which Subgrantees will receive additional funds. This decision is based on the following factors:

- Subgrantees often have to rely on other programs for WAP outreach and other administrative support;
- Subgrantees have had to adjust budgeting to keep pace with cost-of-living increases -- staff salaries, fringe benefits, rent, postage, travel, etc.;
- The State of Texas is 877 miles from Northern to Southern tips, 834 miles from Eastern to Western tips, and is comprised of a total of 266,807 square miles. The extra geography that Subgrantees have to cover to serve all the area's clients equitably requires additional staff, staff time, postage and phone costs, and vehicle wear and maintenance. (Source of Mileage Data: Texas Department of Transportation);
- Salaries, space, utilities, telephone, and similar costs associated with program support personnel should be charged to program support; and
- The increasing cost of maintaining appropriate qualified staff is challenging.

For Subgrantees receiving over \$350,000, the administrative allowance will be 5% of each subgrant. For Subgrantees receiving less than \$350,000, the administrative allowance will be 12.5% of each subgrant.

V.8.3 Monitoring Activities

The Department will monitor the Weatherization Assistance Program (WAP) with the Monitoring staff included in the budget. Subgrantee is defined as an organization with whom the Department contracts and provides WAP funds. Names and credentials of Department staff dedicated to monitoring DOE activities are:

- Kevin Glienke – 10+ years in WAP as a monitor/trainer, BPI Building Analyst Professional, BPI QCI, MF-QCI, BPI EA, and attended DOE sponsored conferences.
- Robert Moore – 11+ years of weatherization experience including as a Texas WAP Subgrantee, BPI QCI, BPI Building Analyst Professional, BPI EA, Lead certified, OSHA 30 and attended DOE sponsored conferences.
- Ben Rose – 7+ years of weatherization experience including as a Texas WAP Subgrantee, BPI QCI, BPI EA, BPI Building Analyst Professional, and Lead certified.

All staff listed above conduct fiscal/administrative and inspection monitoring activities and are paid for out of administration (10%) and T&TA (30%) budget categories.

Compliance Subrecipient Monitoring is staffed with nine additional monitors not dedicated to weatherization. All of these qualified monitors may be tasked with fiscal and programmatic activities through funds provided by this State plan.

The Department will attempt to monitor each of the DOE Subgrantees during the contract period which will be July 1, 2020 through June 30, 2021. Many of the DOE Subgrantees also receive funds through the Department of Health and Human Services Community Service Block Grant and Low Income Home Energy Assistance Program. Whenever possible, all three programs will be monitored during one visit to the Subgrantee; this may result in a monitoring outside of the regular DOE contract period.

(See attached PY2021 Tentative Monitoring Schedule)

The Department understands DOE's expectation and will conduct at least one on-site visit annually to each Subrecipient for technical and fiscal/administrative monitoring.

Financial and Administrative monitoring will include, at minimum, a review of the Subgrantee's General Ledgers and policies and procedures (including procurement) as well as support documentation for reported expenditures. These documents will be reviewed to ensure compliance with DOE, Department and other applicable rules and regulations. The Department will monitor for eligibility through sampled client file reviews. Through sampled unit inspections, Department staff will monitor for installed measures that are allowable and meet or exceed DOE requirements. The Department will review whether charged measures were installed properly and determine compliance with health and safety procedures, client eligibility, energy audit procedures, client education procedures and compliance with the SWS.

The Department will inspect 5-10% of all completed weatherized units. In order to achieve the 5-10% inspection rate and comply with the requirements of WPN 15-4, the Department is requesting that Subgrantees with a QCI on staff do not have that staff member involved with the weatherized unit prior to final inspection. The Department defines prior involvement as performing the audit, creating the work order or performing any weatherization work on the weatherized unit. The Department has created a QCI Final Inspection Form for Subgrantees which will allow TDHCA to determine if a QCI employed by the

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Subgrantee had prior involvement with that unit. The Department will review each sampled QCI final inspection document to ensure compliance with the

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requirement to inspect 5% and will increase the required inspections if necessary.

The Department recognizes that there may be a need to perform additional unit inspections towards the end of the contract period to comply with the requirements of WPN 15-4 if there were not enough units available to sample during the full monitoring review.

More frequent monitoring visits (Fiscal/Administrative and/or Technical) may be conducted for Subgrantees with significant identified risk.

Monitors will complete evaluation instruments to determine a Subgrantee's compliance. The instruments cover Financial and Administrative requirements, health and safety procedures, client eligibility, energy audit procedures, client education procedures, and compliance with the SWS. Compliance Monitors also review the hard copy of the NEAT or MHEA audit which is required to be in the client file to assure that the scope of the work was directed by the audit. Monitors scan documents as support if findings are noted.

The following list provides additional monitoring details that may occur during the monitoring review:

- Monitors may request copies of fiscal records/support documentation and perform a desk review to gauge the fiscal condition of the Subgrantee prior to onsite monitoring.
- As needed, monitors may perform a desk review of records requested but not provided during the onsite review and records requested to clarify issues identified during the onsite monitoring visit. The Department recognizes the requirement to issue the monitoring letter within 30 days of the review. The Department does not consider the review complete until receipt of information needed to ascertain compliance. Monitoring letters will be issued within 30 days of receipt of all necessary information.
- Monitors may test that weatherization activities including but not limited to: energy audits, energy conservation measures, incidental repair measures and health and safety measures are only performed by properly trained Retrofit Installer/Technicians, Crew Leaders, and Energy Auditors that have received comprehensive training (not necessarily certification) that is aligned with DOE's Job Task Analysis for the position in which the weatherization worker is employed.

The Department will issue monitoring reports within 30 days of completion of the review. Subgrantees are provided a 30 day corrective action period to respond and provide evidence of correction. On a case by case basis, the Department may grant an extension to respond to the report if there is good cause and the request is made during the corrective action period. The Department will review each response and determine if the Subgrantee has resolved the compliance issue. If the Department determines the issue is not resolved, the Subgrantee will be notified and required to submit an additional response(s) until the compliance issue is resolved. In certain circumstances, the Department may "close" a compliance issue when there remains no additional actions that can be taken to resolve the issue. At the conclusion of this process, any unresolved compliance issues will be reported to DOE, as will any noncompliance that appears in two consecutive monitoring reports. Instances of suspected fraud, waste, or program abuse will be reported immediately to DOE and the Texas State Auditors Office.

The Department will review the annual Single Audits of each Subgrantee agency. The Department requires each Subgrantee to complete an Audit Certification form within 60 days of the end of the entity's fiscal year. This is used to determine if a Single Audit is required. All single audits must be uploaded to the Federal Clearinghouse within nine months of the Subgrantee's fiscal year end or within 30 days of completion. Upon receipt of the Single Audit, a review is completed to determine if the packet submitted is complete and all opinions are provided. If the audit contains findings for Department issued funds, they are reviewed and discussed by the Director of Internal Audit, the Director of Subrecipient Monitoring, the Director for Community Affairs and staff to determine the appropriate steps to ensure the entity addresses the concerns identified in the audit report or management letter. The Department issues correspondence to the entity, identifying what the entity must address, what support documentation is needed and the corrective action measures that must be performed. The entity is provided a time frame to complete the corrective action and to respond to the correspondence.

The Department's Compliance Monitor(s) keep abreast of the required timeframe for the entity to complete the corrective action and to provide the response. When the response is received, the Department reviews the documentation to determine if the corrective action requirements have been met and whether or not to refer the matter to the Department's Enforcement Committee in accordance with Department rules and standard operating procedures. During the next monitoring visit to the entity, the Department will determine if the selection of expenditures or materials reviewed reflect compliance with the respective requirement.

If it is determined that the Subgrantee is not able to administer the weatherization program, the Department will follow the requirements in 10 TAC §2.202 Contract Closeout.

Virtual Monitoring Overview

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In light of the continued health concerns surrounding Coronavirus (COVID-19), the Texas Department of Housing and Community Affairs

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(Department) postponed Weatherization Assistance Program (WAP) on-site physical monitoring inspections in March of 2020. As of March 2021, restrictions remain in place as the virus has not subsided and Texas continues to experience a rise in active cases. Cities and municipalities throughout the state continue to struggle with active cases and hospitalizations.

In order to promote the safety of our citizens, the Department developed a virtual monitoring inspection plan and received approval from DOE to move forward with virtual inspections according to the virtual monitoring inspection plan. The Department will conduct inspections virtually until such time that restrictions are lifted and the safety of our citizens is assured.

Virtual (video) monitoring inspections, being similar to on-site inspections, will be performed to minimize contact and exposure. This type monitoring encompasses current comprehensive desk review procedures of all digitized client file documentation from intake to the final Subgrantee inspection as well as review of fiscal support documentation. During the desk review continued focus will include eligibility, complete whole house assessment leading to audit measures and needed health and safety measures. Any issue(s) identified will be noted on monitoring report for further follow-up and verification during the remote virtual (video) inspection.

Identified discrepancies, serious and/or questionable health and safety concerns will trigger intensified corrective action or possible onsite examination and confirmation.

Virtual Unit Inspection Technical Monitoring Procedures

Continue utilizing Texas State Plan Monitoring Process inserting virtual unit inspections in lieu of onsite physical inspections.

1. TDHCA issues Subgrantee Technical Monitoring Review Notification Letter.
2. TDHCA communicates with Subgrantee selecting specific weatherized unit to be reviewed.
3. Subgrantee submits selected specific weatherized units client file documentation, final inspection pictures and video recording through TDHCA secure file transfer system.
4. Comprehensive client file desk review completed.
 - a. Performed with evaluation instruments to determine a Subgrantee's compliance, with all questions or concerns noted.
5. Virtual Unit Inspection Technical Monitoring
 - a. Standard final Subgrantee QCI inspections to be completed and videoed
 - b. Schedule virtual instruction training with each Subgrantee to ensure understanding of required photographic and video records of final inspection.
 - c. Conducted by QCI certified TDHCA Staff for units completed and reported.
 - d. Requires Subgrantee's final inspection video recording, pictures and documentation.
 - e. TDHCA Monitor reviews video for completion and SWS and IRC compliance.
 1. If video contains required inspection support, no additional visit is necessary.
 2. If video doesn't adequately address all applicable QCI requirements, then TDHCA requests/schedules an additional Subgrantee visit as a final inspection, that would be interactive (smart phone face time, zoom, etc.) for measures testing missed in the original video.
 - f. Video begins at the street view and continue around entire unit allowing clear observation of all exterior surfaces.
 - g. Continued tour of the unit's interior allowing survey of general condition.
 1. Close-up (zoomed) view of specific areas of work performed and compared against work scope, SWS, and Texas Administrative Code (TAC) standards.

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h. Subgrantee videos diagnostic testing set up, staff performing tests and final test results.

i. Required items to be provided by Subgrantee:

- Blower Door
- CAZ Testing
- Zonals
- Exhaust Flow
- Pressure Pans
- Installed Measures

j. Compliance Monitor develops summary notes on testing processes and final test results based on Standard Work Specifications, DOE approved Field Guide, current Weatherization Program Notices, and Texas Administrative Code.

k. Subgrantee required to address any identified Health and Safety issues immediately with appropriate notice to the affected household and to the Department.

l. Subgrantee afforded the opportunity to address any additional non H&S identified issues prior to required monitoring review report release.

6. DEPARTMENT ISSUED MONITORING REPORT

a. The Department will issue monitoring reports within 30 days of completion of the review.

b. Subgrantees are provided a 30 day corrective action period to respond and provide evidence of correction.

c. The Department will review each response and determine if the Subgrantee has resolved the compliance issue.

d. If the Department determines the issue is not resolved, the Subgrantee will be notified and required to submit an additional response(s) within 30 days.

Failure to resolve findings may result in disallowed costs.

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V.8.4 Training and Technical Assistance Approach and Activities

The Department provides Subgrantees with sufficient T&TA funding to obtain and/or maintain required certifications such as: QCI, MFQCI, Energy Auditor, Lead Safe Renovator, Lead Safe Worker, and OSHA 10 or 30. All training provided includes requirements for compliance with Quality Work Specifications. The Department will conduct trainings based upon the following:

- Grant Requirements or as directed by DOE monitor or audit reports.
- Subgrantee Request. The Department has an online request system, with a T&TA menu list, or section for the Subgrantee to make a specific request or ask specific questions. The Department will contact the requestor and customize training to meet the need.
<https://tdhca.wufoo.com/forms/requestforprogramassistance>
 - In addition, submitted questions or requests are reviewed for creating Best Practices/FAQs or to identify topics for regional trainings, workshops, webinars or individualized training.
- Monitor Reports. The Department's compliance team shares monitoring issues with the training team. The training team will initially provide resources and guides to address any findings, and follow up with T&TA as required.
- Trends across the Network are addressed in regional trainings, workshops, webinars or quarterly webinar calls with the network.
 - Management Request. Management may make a specific request and dictate the type of training needed.

The Department has six certified QCI staff who monitor and/or train weatherization Subgrantees on quality weatherization work, proper diagnostics, documentation, and compliance. The Department has at least one certified BPI Proctor on staff who administer exams for BPI written exams. The Department continues to provide T&TA to assist Subgrantees in preparing for and obtaining required certifications. The Department created an online Web page dedicated to Quality Work Plan requirements that contains guidance and resources.

<http://www.tdhca.state.tx.us/communityaffairs/wap/qualityworkplan.htm>

NOTE: New Mexico Energy Smart Academy sometimes partners with local Subgrantees to provide IREC certified courses in Texas including MFQCI and Energy Auditor.

Comprehensive Training:

The current focus for Comprehensive training will include the following:

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- Ensuring all 22 Subgrantees have staff (or subcontractors as applicable) certified or trained in the profession in which the worker is employed.
 - Employment categories include: Energy Auditor (EA), Quality Control Inspector (QCI), Retrofit Installer (RI) and Crew Leader (CL). • Ensuring all 22 Subgrantees receive Energy Audit Modeling training to address identified monitoring concerns and aid in the transition to the new web based Weatherization Assistant (NEAT/MHEA).
 - To comply with the requirement outlined in WPN 19-4 (Section 2), once the updated version of the NEAT and MHEA audit tool (version 10) is migrated to the web and approved for use by DOE, TDHCA will transition fully to the online version (v10) in PY21. To aid in the transition and address energy audit modeling concerns noted from the recent DOE monitoring TDHCA is planning to coordinate with an IREC accredited training center to provide Comprehensive Training which will at minimum cover WA v10 setup/use. Projected transition/T&TA timeline targets are as follows: ■ April 2021 • Review Conversion Curriculum when released to aid in determining what will be required to convert to WA v10
- September 2021
 - Review Core Curriculum once released and start coordination with IREC training facility to develop the Comprehensive Training which will at minimum cover WA v10 setup/use • Review COVID status to determine best suited training delivery method, i.e. virtual, regional classroom, network-wide classroom, or combination and projected time frame to determine if adjustments are necessary
- October-November 2021 • Development of the WA v10 Comprehensive Training and materials
- December 2021
 - Review Comprehensive Training & finalize implementation plan/schedule
- Jan-March 2022 • Provide Comprehensive Trainings in joint coordination with IREC approved facility and implement the new WA v10 energy audit for all twenty two (22) subgrantees as outlined in the implementation plan/schedule determined in Dec. ■ Feb-April 2022 • Conduct a series of in-person/virtual meetings to clarify any questions and provide any needed additional T&TA.

Comprehensive training will be provided by accredited IREC training providers and required certification testing will be conducted by BPI certified proctors. TDHCA maintains the capacity to administer BPI written exams and is researching how to conduct BPI field exams as well.

In compliance with Section 4 of WPN 15-4, the Department will track that comprehensive training for each category listed above is obtained and that retraining occurs as applicable. Whereas it is the responsibility of the Department to provide funds for training through IREC training providers, it is the responsibility of the Subgrantee to ensure training is completed by staff and/or subcontractors. The Department will monitor Subgrantee progress and track credentials. Weatherization on staff may not function unsupervised until training and certification requirements are met.

To assist Subgrantees with identifying appropriate staff to challenge BPI advanced certifications, TDHCA recommends successful training and completion of an appropriate BPI core certification on such as Building Analyst or Envelope Professional.

Specific Training:

Specific training will be provided by Department training and technical assistance staff or a designee. With experience as Program Officers and Trainers, the staff has experience in Subgrantee monitoring, unit assessments, audits, materials installation, inspections, and the training and technical assistance that support each. The staff consists of:

- Chad Turner – 19+ years of WAP experience including as a Texas WAP Subgrantee, BPI QCI, MF-QCI, BPI EA, BPI Building Analyst Professional, OSHA 30 and attended DOE sponsored conferences. • Jason Gagne – 5+ years experience in WAP, BPI QCI, BPI Building Analyst Professional, Lead certified, Energy Audit certified, OSHA 10, and attended DOE sponsored conferences.
- Kevin Glienke – 10+ years in WAP as a monitor/trainer, BPI Building Analyst Professional, BPI QCI, MF-QCI, BPI EA, and attended DOE sponsored conferences.
- Robert Moore – 11+ years of weatherization experience including as a Texas WAP Subgrantee, BPI QCI, BPI Building Analyst Professional, BPI EA, Lead certified, OSHA 30 and attended DOE sponsored conferences. • Ben Rose – 7+ years of weatherization experience including as a Texas WAP Subgrantee, BPI QCI, BPI EA, BPI Building Analyst Professional, and Lead certified

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T&TA staff provide new manager training, monitoring report based training, and technical assistance for multiple WAP Subgrantees. New manager training is required within three months of being hired. Subgrantees may request new manager training through the online training request system (i.e., Wufoo). Another form of mandatory training are trainings that arise out of necessity due to monitoring issues. Subgrantees are monitored as described in V.8.3 Monitoring

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Activities of this Plan and results of those monitoring visits are shared with T&TA staff. Any issues as a result of a monitoring visit are analyzed by T&TA staff to determine how best to train the Subgrantee to resolve the issue(s).

For onsite T&TA visits, a report will be produced indicating Subgrantee staff present, materials and documents presented to the Subgrantee, and expected outcomes.

Training on the Health and Safety Plan occurs via quarterly webinar calls which typically include health and safety concerns. Additionally, training and technical assistance occur throughout the year at random intervals on a case by case basis originating as a result of monitoring trends and reports and request from Subgrantee assistance. Finally, the Department also hosts a webinar at the beginning of each Program Year to assist in the implementation of the new DOE State Plan and Health and Safety Plan.

The Quarterly Network Webinar Call will cover topics based upon need and identified areas of concern. Topics typically include:

- Program Requirements and Updates
- Monitoring Concerns
- Technical Issues
- Health & Safety Concerns
- Upcoming Training Dates
- Resources

A WAP newsletter will be emailed to the network on an as-needed basis (i.e., as information becomes available) to provide WAP related information to the network (e.g., program and technical requirements, updates, training opportunities).

The Department directs Subgrantees to the "Weatherization Assistant Online Training" on the Department's website for initial training of the state approved energy audit. <https://www.tdhca.state.tx.us/communityaffairs/wap/guidance.htm>

Training staff will provide further technical assistance on a one-on-one basis as necessary.

Department WAP Trainers will address five key topics for 2021. The Department has chosen to focus on the following:

- Quality work through initial assessments
- Air sealing and duct sealing techniques
- Importance of aligning thermal and pressure boundaries
- Energy Audit Modeling
- Cost Allocation (provided by a third-party)

TDHCA will further reserve flexibility to respond to any T&TA needs that may arise because of grant requirements or as directed by DOE monitor or audit reports.

Ramifications for noncompliance with Comprehensive training and/or Specific training can be awards that contain condition(s) which the noncompliant Subgrantee must comply with in order to receive funding. Conditions can be minor (e.g., submittal of a credential to the Department) or severe (e.g., closely supervised final QCIs by Department training staff to determine quality of weatherization measures installed).

Evaluation of Training Activities

Subgrantees will be given the opportunity to provide feedback through online training evaluations. These evaluations are reviewed to make improvements to future T&TA. Training staff will conduct periodic surveys to solicit input from Subgrantees as to their training needs and will evaluate pass rates for certification testing. In order to evaluate compliance with the Quality Work Specifications and the efficacy of its training activities, the training staff will review a Subgrantee's training activities semiannually and compare those to the Subgrantee's monitoring reports.

Program Evaluation

The Department utilizes an online contract system to collect expenditure and performance data from Subgrantees and compares that data to a production tool at minimum on the third, fifth, and seventh program reporting deadline as identified within 10 TAC §6.405. Training staff contact Subgrantees regarding various benchmarks throughout the program year.

Another method of evaluation is provided by the compliance division. The Department's compliance staff provides training staff with a copy of the Subgrantee's most recent monitor report, which is also used to assess individualized training needs. By viewing all Subgrantee monitor reports, training staff is also able to determine if there are any network trends which need to be addressed.

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Client Education

The Department requires Subgrantees to provide client education to each client. Subgrantees are required to provide (at a minimum) educational materials in verbal and written format. Client education may include temperature strips that indicate the temperature in the room, energy savings materials, and instructions for equipment operation and/or maintenance.

Percent of overall trainings

Comprehensive Trainings:	34.0
Specific Trainings:	66.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	15.0
Percent of budget allocated to Crew/Installer trainings:	15.0
Percent of budget allocated to Management/Financial trainings:	15.0

V.9 Energy Crisis and Disaster Plan

n/a

PY2021 Monitoring Schedule*

June - August 2021	September - November 2021	December 2021 - February 2022	March - May 2022
South Plains CAA	City of Fort Worth	Community Council of South Central Texas	Brazos Valley CAP
Nueces County CAA	Community Action Corporation of South Texas	El Paso Community Action Program, Project BRAVO	Combined Community Action Corp
West Texas Opportunities, Inc.	Greater East Texas Community Action Program	Texoma Council of Governments	Economic Opportunities Advancement of Corporation Region XI
Big Bend CAA	Hill Country CAA	Alamo Area Council of Governments	Travis County HHS
Panhandle Community Services, Inc.	Rolling Plains Management Corp	Dallas County Dpt of HHS	Community Action Committee of Victoria, Texas
		Baker Ripley	Concho Valley CAA

* Schedule is subject to change based on production, contract extensions and/or other unforeseen circumstances.

Fiscal/Administrative (F/A)

These reviews will typically start as a desk review. The F/A reviews will happen in the same month as the technical visit and will be issued as one WAP monitoring report. F/A reviews will be done by any available qualified compliance staff.

Technical/Inspections

These reviews will always be conducted onsite. Inspections will be conducted by state staff that are QCI certified. Full QCI inspections will be conducted on each unit reported as "inspected" by the state. Inspection percentages at each Subrecipient will be based off QCI staff and separation of assignments in accordance with WPN 15-4 (5 or 10%). TDHCA staff will also conduct LIHEAP inspections on the same trip to minimize visits to the Subrecipient, which is why trips begin so early in the DOE program year(LIHEAP program year ends December 31).



WEATHERIZATION HEALTH AND SAFETY PLAN 2021

TEXAS WEATHERIZATION CONTACT INFORMATION

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Weatherization Grantee Health and Safety (H&S)

Plan Optional Template

1.0 – General Information

Additional information that does not fit neatly in one of the other sections of this document.

Allowable Department of Energy (DOE) related health and safety (H&S) actions and expenditures are those necessary to maintain the physical well-being of both the occupants and/or weatherization workers where:

- Costs are reasonable as determined by The Department of Energy (DOE) in accordance with this approved Master Plan;
- The actions must be taken to effectively perform weatherization; or • The actions are necessary as a result of weatherization work.

This plan will provide guidance to the Texas Weatherization Network. Health and Safety issues will be identified by Program Assessors during the initial assessment. Weatherization Crews (either subcontracted or in house) will perform the task(s) identified in the initial assessment and listed in the work order(s). Weatherization agencies and their representatives, including subcontractors, are required to take all reasonable precautions against performing work on homes that will subject the occupants or themselves to health and/or safety risks.

This health and safety plan is taken from a DOE approved template. The text at the top of the template is boilerplate language and may not always apply to activities described in TDHCA’s DOE plan. Capitalized terms in the Plan have definitions in Chapters 1, 2, or 6 of Part 1, Title 10 of the Texas Administrative Code.

2.0 – Budgeting

Grantees are encouraged to budget H&S costs as a separate category and, thereby, exclude such costs from the Average Cost Per Unit (ACPU) cost limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. H&S costs that are budgeted and reported under the Program Operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the Grantee’s Department of Energy (DOE)-approved energy audit tool.

Select which option used below.

Separate H&S Budget

Contained in Program Operations

3.0 – H&S Expenditure Limits

Pursuant to [10 CFR 440.16\(h\)](#), Grantees must establish H&S expenditure limits for their Program and provide justification for those limits by explaining the basis and related historical H&S expenditures. DOE acknowledges that it may be necessary for Grantees to deviate from historical expenditures when certain circumstances arise (e.g. funding source changes).

[10 CFR 440.16\(h\)\(2\)](#) dictates that these limits must be expressed as a percentage of the ACPU. To calculate this percentage use the following formula:

$$\frac{\text{HH\&SS bbbbbbAAAATT TTaaTTbbUUTT}}{\text{TTTTTTTTTT AAAAAAATTAAAA HH\&SS CCTTCCTT ppAAAA UUUUUUTT}} = \frac{\text{PPAATTA AAAATTaa OOppAAAATTTTUUTTUUCC}}{\text{bbbbbbAAAATT TTaaTTbbUUTT}}$$

For example, if the ACPU is \$5,000 and a Grantee’s Program expends an average of \$750 per dwelling on energy-related H&S measures, the Total Average H&S Cost per Unit would equal 15 percent. DOE acknowledges that this percentage may vary significantly between Grantees due to different geographical areas and depending upon the availability of other funding sources, resource availability, etc. Low percentages should include a statement of what other funding supports H&S costs, while larger percentages will require greater justification and relevant historical support.

15 percent is not a maximum limit on H&S expenditures. DOE will conduct a secondary level of review on H&S Plans with a Grantee request of more than 15 percent of Program Operations used for H&S purposes, . **DOE strongly encourages using the table below in developing justification for the requested H&S budget amount.** In accordance with [10 CFR 440.18\(d\)\(15\)](#), these funds are to be expended by the Program in direct weatherization activities, “of which is necessary before, or because of, installation of weatherization materials.” This same section of the regulation excludes the H&S costs from the ACPU limitation if H&S costs are budgeted separately.

DOE recommends reviewing recent budget requests and compare those to actual H&S expenditures to see if previous budget estimates have been accurate. The resulting Total Average H&S Cost per Unit multiplied by the Grantee’s production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee’s annual plan..

H&S expenditure limits and justification explaining the basis for setting the limits.

A thorough review of historical H&S expenditure data along with network provided feedback to aid in the completion of the H&S Measure Matrix is analyzed annually to determine the H&S expenditure limit requested.

Utilizing the spreadsheet embedded below, provide a full list of H&S measures using historical data from your program, including average cost, and frequency rate. If installing more than a single instance of one measure in a unit (e.g. multiple CO alarms), Grantees may aggregate costs so that frequency does not exceed 100%, or enter a justification into the measure column, which explains why that measure has a frequency rate of over 100%. The spreadsheet will auto calculate your expected Total Average H&S Cost per Unit.

Instructions: Double-click icon directly below to open, view and edit Measure Matrix Spreadsheet. Complete the spreadsheet by entering the required information. To save, close the spreadsheet and it will save to this document.



Measure Matrix
Final.xlsx

4.0 – Incidental Repair Measures

Any measures that could potentially be identified as H&S but the Grantee chooses to instead identify and treat those measures as incidental repair measures (IRMs), must be implemented consistently throughout the Grantee’s weatherization program. The measure must fit the regulatory definition of an IRM and be cost justified along with the associated energy conservation measure and/or package of measures. [10 CFR 440.3](#) defines Incidental Repairs as, “those repairs necessary for the effective performance or preservation of weatherization materials.”

H&S measures identified and treated as IRMs within your Program.

N/A-TDHCA strives to limit IRMs and H&S measure when feasible in an effort to maintain program focus/intent of energy efficiency.

5.0 – Occupant Pre-Existing or Potential Health Conditions and Hazard Identification and Notification Form(s)

Grantees must include policies/procedures for informing clients of the aspects of weatherization that may put a client with preexisting health conditions at risk during installation of measures. This screening may occur as part of the initial application for weatherization and/or during the energy audit. Procedures must include what steps will be taken and/or available to the client to ensure that weatherization work will not aggravate pre-existing health conditions. Additionally H&S assessments are required to identify hazards in the home. For those hazards identified, appropriate testing is required when applicable. The client/landlord/property manager must be informed in writing of all testing results, including identification of a hazards revealed by the testing that will lead to deferral/referral.

Grantees are required to develop documentation forms that include at a minimum:

- *Occupant Pre-existing or Potential Health Conditions;* ○ *Screen occupant(s) to self-report known or suspected health concerns either as part of initial application for weatherization, during the energy audit, or other parts of the weatherization process as specified;*
 - *Inform client in writing of any known risks; and* ○ *Provide client with Subgrantee point of contact information in writing so client can inform of any issues.*
- *Hazard Identification Notification Form* ○ *The occupant(s) (and Landlord's, if applicable) name and address;*
 - *Date(s) of the energy audit/assessment and when the occupant(s) (and Landlord, if applicable) was informed of a potential H&S issue;*
 - *A clear description of the problem;*
 - *A statement indicating if, or when weatherization could continue; and*
 - *The occupant(s) (and Landlord's, if applicable) signature(s) indicating that they understand and have been informed of their rights and options.*

Procedure for soliciting occupants' health and safety concerns related to components of their homes

A Health & Safety Questionnaire/ Checklist was developed by the Department to aid Subgrantees in soliciting important occupant H&S concerns related to components of their homes. Obtained information must be taken into consideration when determining the units work scope to ensure of occupant safety. The form must is located under Client and Field Assessment Forms on the Department Website:

- [Health & Safety Client Questionnaire & Inspection Checklist](#)

Procedure for determining whether occupants suffer from health conditions which may be negatively impacted by the act of weatherizing their dwelling

Subgrantee must discuss information obtained from the questionnaire with clients and identify potential measures being considered for installation to determine if any measures could have an effect on the occupant's health. Precautions taken to avoid client health and/or safety should be well documented in the client file.

Procedure for addressing potential health concerns including pre-existing health conditions when they are identified

Weatherization agencies and their representatives, including subcontractors, are required to take all reasonable precautions against performing work on homes that will subject the occupants or themselves to health and/or safety risks. In cases where an occupant's health is fragile, or an occupant has been identified to have a health condition, and/or the crew work activities would themselves constitute a health and/or safety hazard, the occupant(s) at risk shall be required to leave during the performance of the work activities. In cases where specific weatherization material(s) present an occupant health concern, crews/contractors may substitute a comparable alternative material that meets DOE specifications. If no safe alternative material meeting DOE standards is available, subgrantees should receive case by case guidance from Department training staff. Precautions taken to avoid client health and/or safety should be well documented in the client file.

Documentation Form(s) have been included for review?

Yes No

Location where forms have been uploaded/submitted

Separate attachment to SF424 Separate attachment to H&S Plan Hyperlink within guidance above

6.0 – Health and Safety Categories

For each of the following H&S categories identified by DOE:

- *Explain whether you concur with existing guidance from Weatherization Program Notice (WPN) 17-7 and how that guidance will be implemented in your Program, if you are proposing an alternative action/allowability, or if the identified category will not be addressed and will always result in deferral. Alternatives require comprehensive explanations as to how it meets the intent of DOE guidance.*
- *Where an action/allowability or testing is “required” or “not allowed” through WPN 17-7, Grantees must concur, or choose to defer all units where the specific category is encountered.*
- *Any activities that are marked as deferral/referrals must contain the H&S reasons specified within the Master File Section V.1.2 Box 5 Deferral/Referral.*
- *Unless an alternate funding source(s) is declared, utilize DOE funds to address the particular category.*
- *Describe the explicit methods to address the specific category.*
- *Describe in detail what testing protocols (if any) used to assess the particular category.*
- *Define and quantify minimum thresholds that determine minor, major, and limited definitions and the criteria used to make a determination on a case-by-case basis.*
- *Define “at-risk” occupant(s) and identify minimum documentation requirements for them.*
- *Client Education activities specific to H&S reasons is required within the Master File Section V.8.4 Training and Technical Assistance of the annual application.*
- *Training activities specific to H&S reasons is required within the Master File Section V.8.4 Training and Technical Assistance of the annual application.*

6.1 – Air Conditioning and Heating Systems

Concurrence, Alternative or Deferral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Air Conditioning Unallowable with DOE Funds Heating Unallowable with DOE Funds
Other Funding Source Addresses H&S Issue

Procedure for unsafe or non-functioning primary heating/cooling systems

“Red tagged”, inoperable, or nonexistent primary heating and/or cooling system replacement, repair, or installation is allowed due to extreme climate conditions in Texas for Vulnerable Populations.

Texas’ climate conditions include climate zones 2A, 2B, 3A, 3B, and 4B which can be described as Hot-Humid, Hot-Dry, and MixedDry. This diversity in climate conditions requires Texas to have the flexibility to address all scenarios related to providing heating and cooling to Vulnerable Populations.

Subgrantee will use the ACCA approved Manual J to determine proper sizing of replacement heating and cooling appliances. All heating and cooling systems will be evaluated as an energy conservation measure before consideration as a health and safety measure.

If the heating/cooling system issue is determined to be beyond the scope of DOE WAP, weatherization agencies will defer the work and refer the client to other resource agencies who may be able to address the problem. Texas’ deferral policy and protocols shall always be strictly adhered to when deferring weatherization work. If the client is completely without cooling or heating, the weatherization agencies shall make a referral to an agency with funding that can provide Vulnerable Population clients with a portable air conditioner or temporary means of heat, such as a portable heat pump or blankets.

Texas requires HVAC system installation to follow local and state code and it must be performed by a licensed HVAC professional. Weatherization agencies may subcontract licensed HVAC companies/individuals to perform heating/cooling systems installations and repairs if they follow proper state procurement procedures.

When replacing a primary wood stove in a mobile/manufactured home the new unit must be listed for use with manufactured homes, and must be installed in accordance with their listings. Units that are not manufacturer approved, discovered during an initial assessment, should be replaced with an approved manufactured home appliance, under H&S. All state and local codes must be followed.

Vented space heaters shall be treated as furnaces. Combustion safety testing is required when combustion appliances are present. Weatherization Assessors and Final Inspectors must conduct the combustion appliance safety inspection. This includes all of the following: carbon monoxide testing, draft measurement, spillage evaluation, worst case depressurization of the combustion appliance zone (CAZ), a safe flue pipe, chimney or vent, adequate combustion air, and gas leakage as applicable. Combustion safety test results must be acted upon appropriately according to the Standard Work Specifications and BPI protocols.

Procedure for unsafe or non-functioning secondary heating systems, including unvented secondary space heaters

Maintenance and repair of secondary heating units is allowed.

Minor maintenance activities can be performed for traditional open masonry fireplaces and wood burning stove/pellet stoves. This would be a health and safety issue requiring photo documentation and receipt of services by the professional with a description of what services were performed. Inspection, repair and or cleaning shall be sub-contracted to a qualified solid fuel heating system vendor.

An unsafe, unrepairable open masonry fireplace would be treated similarly to that of an unvented space heater if it is the primary source of heat. The fireplace must be rendered inoperable and replaced with a vented heating unit. The type of existing fuel will dictate the replacement. If the client has a combustion fuel source (e.g. - gas, propane, etc.) then seal up the fireplace, and add a vented gas heater.

Testing will be required to assure adequate supply of electricity is available for existing standalone electric space heaters. This will be accomplished through the use of three wire circuit testers, GFI electrical outlet testers, and line voltage testers. Repair, replacement or installation is not allowed. Removal is recommended.

Unvented space heater 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, however may remain until a replacement heating system is in place.

Testing for air-free carbon monoxide (CO) is to be performed. All units must have an ANSI Z21.11.1 label, and meet IRC and IFGC codes. The client must be informed of the dangers of unvented space heaters – CO, Moisture, and NO2. CO can be dangerous even if CO alarm does not sound.

Assessors must calibrate the CO tester outside the home and test the ambient air in the home; following the BPI-1200 standards:

- Perform an inspection of the heater. Any of the following conditions are grounds for repair or replacement:
 - Carbon monoxide (CO) test indicates ambient CO levels above 35 ppm
 - Bad burners (missing, broken, or otherwise un-repair-able)
 - Cross-fueled (between NG and LPG) and the orifices and/or pressure regulator have not been changed
 - Missing radiants
 - Open flame burners
 - Rubber supply lines
 - Charring or scorching

If the cause cannot be determined, Subgrantee must calibrate equipment and re-test. If still indeterminable, refer to local gas company. Any time replacement is deemed necessary, first consider performing the replacement as an ECM (energy saving measure) before replacing as a Health & Safety measure.

Definition of and documentation required for “at-risk” occupants

The application will be used to determine if a household includes Vulnerable Populations (also known as at-risk occupants).

Vulnerable Populations are defined as Elderly (60 or older), Disabled, or Children 5 and younger.

Testing protocols

Ensuring primary systems are present, operable, and performing correctly.

Model system in the current DOE-approved audit to determine if the system can be installed as an energy conservation measure (ECM) prior to replacement as an H&S measure.

Determine and document presence of Vulnerable Populations when installing air-conditioning as a Health and Safety (H&S) measure.

On combustion equipment, subgrantees are required to perform an appliance safety inspection. The inspections must include the following: carbon monoxide testing, draft measurement, spillage evaluation, worst case depressurization of the combustion appliance zone (CAZ), assurance of a safe flue pipe, chimney or vent, adequate combustion air, and gas leakage as applicable.

Combustion safety test results must be acted upon appropriately according to the Standard Work Specifications and BPI protocols.

For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe.

6.2 – Asbestos (Confirmed and/or Presumed Asbestos Containing Material)

Concurrence, Alternative or Deferral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Asbestos on Heating, Ventilation and Air Conditioning (HVAC) systems, distribution, venting and other small surfaces that will be disturbed through the course of weatherization work policy

Inspect pipes, furnaces, and other coverings for asbestos. Encapsulation is allowed by an AHERA asbestos control professional and should be conducted prior to any blower door testing. Removal may also be allowed by an AHERA asbestos control professional based on the situation as determined by the inspector or Agency Representative

Asbestos in attics, walls, floors roofs and foundations that will be disturbed through the course of weatherization work policy

Asbestos is the name given to a number of naturally occurring fibrous minerals with high tensile strength, the ability to be woven, and resistance to heat and most chemicals. Because of these properties, asbestos fibers have been used in a wide range of manufactured goods, including roofing shingles, ceiling and floor tiles, paper and cement products, textiles, coatings, etc. It is difficult to tell whether a material contains asbestos simply by looking at it, unless it is labeled. If in doubt, treat the material as if it contains asbestos. Do not dust, sweep, or vacuum debris that may contain asbestos. Never saw, sand, scrape, or drill holes in asbestos materials.

Removal of siding is allowed to perform energy conservation measures. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled. It is recommended, where possible, to insulate through home interior to avoid disturbing or removing the asbestos siding on the exterior of the home.

Vermiculite that will be disturbed through the course of weatherization work policy

When vermiculite is present, unless testing determines otherwise, take precautionary measures as if it contains asbestos, such as not using blower door tests and utilizing personal air monitoring while in attics. Encapsulation by an AHERA certified asbestos control professional shall be allowed. Removal shall not be allowed.

Blower door testing policy when asbestos/vermiculite is present

Subgrantees are not allowed to perform blower door testing if vermiculite is present. Prior to performing blower door testing, subgrantees are required to inspect pipe and other coverings for asbestos. Encapsulation is allowed by an AHERA asbestos control professional, and should be conducted prior to any blower door testing if the materials are friable.

Testing protocols

Testing is only allowed by a certified AHERA tester.

Visual inspection of exterior wall surface and subsurface, floors, walls, attics, and ceilings for suspected ACM.

Documentation requirements

In every instance, clients shall be informed both verbally and in writing that suspected asbestos containing materials are present. Clients shall also be informed as to the precautions that will be taken. Client written materials shall include information about the potential health risks associated with asbestos.

6.3 – Biologicals and Unsanitary Conditions

(e.g., odors, mustiness, bacteria, viruses, raw sewage, rotting wood)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Biological and unsanitary conditions in dwellings policy

Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed. Addressing bacteria and viruses is not an allowable cost. Deferral may be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers.

The use of personal protective equipment shall be strictly enforced. Respirators, protective eyewear, and protective clothing will be worn when there is suspicion or knowledge that biological agents may be present in order to eliminate or minimize crew exposure.

In the past, remediation of conditions listed under this health and safety category was not allowed. It is allowable under WPN 17-7, except for the removal of known bacteria and viruses. Texas will assess the cost effectiveness and necessity of remediation of conditions that lead to or promote biological concerns and unsanitary conditions, on a case by case basis. Factors considered in regards to biological/unsanitary conditions remediation include, but are not limited to: allowability, safety of workers, safety of household members, size of area impacted, location of area impacted, cost for remediation, impact this area has on the ability to properly weatherize/improve energy efficiency of building structure for lifetime of measures installed, etc.

Testing protocols

Assessment staff are required to perform a visual/sensory inspection utilizing a Grantee designed H&S Client Questionnaire & Inspection checklist available on the Grantee’s website.

6.4 – Building Structure and Roofing (e.g., roofing, wall, foundation)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Structural issues in dwellings policy

Building rehabilitation is beyond the scope of the WAP. Homes with conditions that require more than incidental repair should be deferred.

While conducting the initial audit, the building structure shall be inspected for structural integrity. Minor repairs to protect the DOE materials installed may be performed to protect the energy saving investment. Dwellings whose structural integrity is in question should be referred to agencies that deliver HUD funds or other appropriate local and state agencies. Weatherization services may need to be delayed or deferred until the dwelling can be made safe for crews/contractors and occupants. Incidental (minor) repairs necessary to effectively perform or preserve weatherization materials/measures are allowed. Refer to WPN 19-5 for further guidance on determining if incidental repairs are allowable.

Define and quantify minor or allowable structure and roofing issues. At what point are these considered beyond the scope of weatherization?

Minor repairs would be repairs that are necessary for weatherization work to proceed, and that can be allowed by WPN 19-5 if justified in the whole house SIR by the site-specific audit. Repairs would be beyond the scope of weatherization when causing the whole house SIR to drop below one. All repairs should be identified during the initial assessment. In the rare instance that necessary repairs are identified during the measure installation phase, a determination will be made if the repair is an Incidental or a Health & Safety cost. Incidental repair will necessitate that the site-specific audit be re-run, while H&S repairs do not.

If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?

N/A – Priority List is not used.

6.5 – Code Compliance

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral
 Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Code compliance issues in dwellings policy

Correction of pre-existing code compliance issues is not an allowable cost other than where weatherization measures are being conducted. When correction of preexisting code compliance issues is triggered and paid for with WAP funds, Subgrantee must cite specific code requirements with reference to the weatherization measure(s) that triggered the code compliance issue in the client file.

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.

WAP funds may be used when weatherization measures are being conducted. They may not be used simply to correct pre-existing code compliance issues.

Acquire all required permits and licenses pertinent to installing weatherization measures. These vary by jurisdiction and it is the responsibility of each Subgrantee agency to know what the codes are in each of the areas they work, as well as what permits and licenses are required in each of the areas they work.

6.6 – Combustion Gases

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
Unallowable Measure with DOE Funding <input type="checkbox"/> Other Funding Source Addresses H&S Issue <input type="checkbox"/>		

Combustion gas issues discovered during testing, including those that require an immediate response policy

Proper venting to the outside for combustion appliances, including gas dryers, is required. Correction of venting is allowed when testing indicates a problem.

Based on CGD and CO detector readings, the inspector should take the following actions:

- The CO detector indicates an ambient carbon monoxide level of 70 ppm or greater. The inspector should immediately notify the occupant of the need for themselves and any building occupant to evacuate; the inspector shall immediately evacuate and call 911.
- Where the CO detector indicates an ambient reading between 30 ppm and 70 ppm. The inspector should advise the occupant that high CO levels have been found and recommend that all possible sources of CO should be turned off immediately and windows and doors opened. Where it appears that the source of CO is a permanently installed appliance, advice the occupant to keep the appliance off and have the appliance serviced by a qualified servicing agent.
- Where CO detector indicates ambient CO below 30 ppm the inspection can continue.

Testing protocols

IRC 2015
D.2 Occupant and Inspector Safety. Prior to entering a building, the inspector should have both a combustible gas detector (CGD) and CO detector turned on, calibrated, and operating. Immediately upon entering the building, a sample of the ambient atmosphere should be taken.

A complete mechanical systems assessment is required to be completed on every home. The procedure includes collecting general information; collecting and recording mechanical systems information; visual and diagnostic inspection of the venting and distribution system; and, combustion analysis and diagnostic testing of gas/propane fired equipment, and post-installation safety tests for CO. Combustion safety testing is required when combustion appliances are present. Pre and post combustion appliance safety inspections include all of the following: carbon monoxide testing, draft measurement, spillage evaluation, and worst case depressurization of the combustion appliance zone (CAZ).

As applicable, every combustion appliance will be checked for a safe flue pipe, chimney or vent, adequate combustion air, and gas leakage. DOE will not permit any DOE-funded weatherization work where the dwelling unit is heated with an unvented gas- and/or liquid-fueled space heater as the primary heat source. In such cases the primary space heater must be removed and a vented code compliant heat source must be installed prior to the installation of weatherization measures. DOE will allow unvented gas- or liquidfueled space heaters to remain as secondary heat sources provided they comply with ANSI Z21.11.2, the IRC, and the IFGC. LIHEAPWAP may replace non-compliant secondary unvented gas- or liquid-fueled space heaters.

Client shall be provided with combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and keeping burners clean to limit the production of CO.

Best Practice:

- [Combustion Appliance Zone \(CAZ\) Testing](#)
- [Isolating the Combustion Appliance Zone \(CAZ\)](#)

6.7 – Electrical

Concurrence, Alternative or Deferral/Referral		
Concurrence with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
Unallowable Measure with DOE Funding <input type="checkbox"/> Other Funding Source Addresses H&S Issue <input type="checkbox"/>		
Electrical hazards, including knob & tube wiring, in dwellings policy		
<p>Minor electrical repairs are allowed where health or safety of the occupant(s) may be at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures.</p> <p>Testing shall include visual inspection, as well as voltage drop and voltage detection testing. Provide client information on overloading circuits and electrical safety and risks.</p> <p>Aluminum wiring should be thoroughly inspected before any insulation work is done. If aluminum wiring is found to be active and in the areas to be insulated, no insulation should be added.</p> <p>Prior to insulating around Knob and Tube wiring, cost effectiveness must be evaluated and barriers must be installed to keep insulation at least three inches from the K&T. If K&T is permanently disabled (cannot be energized again) then it may be insulated over.</p> <p>Best Practice:</p> <ul style="list-style-type: none"> • Knob & Tube Wiring <p>When electrical repairs within the scope of the DOE WAP are required, the repair work must be performed by a licensed electrician.</p>		
Define and quantify minor electrical issues. At what point are these considered beyond the scope of weatherization?		
<p>Minor upgrades and repairs necessary for installation of weatherization measures and where the health and/or safety of the occupant(s) is at risk may be allowed. Examples of minor repairs include exposed electrical connections, damaged or nonworking switches and receptacles, and damaged or unsafe electrical wire conditions.</p> <p>In the event electrical hazards cannot be corrected or prevent major measure installation unit deferral is required.</p>		
If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?		
N/A – Priority List is not used.		

6.8 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants

Concurrence, Alternative or Deferral/Referral		
Concurrence with DOE Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral/Referral <input type="checkbox"/>
Unallowable Measure with DOE Funding <input type="checkbox"/> Other Funding Source Addresses H&S Issue <input type="checkbox"/>		
Formaldehyde, VOCs, flammable liquids and other air pollutants in dwellings policy		

WAP workers may not remove pollutants. Removal of pollutants must be done by the client or a contracted professional prior to weatherization work being performed. If pollutants pose a risk to workers and removal cannot be performed by a professional or the client refuses to remove the pollutants, the unit must be deferred.

Visual, sensory, combustion appliances inspection/testing, and completion of Client Questionnaire and Inspection Checklist shall be the primary detection method. All reasonable steps shall be taken to limit worker exposure to VOCs, air pollutants and biological contaminants utilizing OSHA PPE guidelines. VOCs are emitted as gas from certain solids or liquids which may have short and longterm health effects. Common sources of VOCs include paints, paint strippers, solvents, aerosol sprays, cleaning supplies, petroleum fuels, sealants, refrigerants, etc. When using products known to emit VOCs, increase ventilation is required. Meet or exceed any label precautions. Identify, and if possible, have client or a contracted professional remove the source. Biological contaminants include bacteria, molds, mildew, viruses, animal dander, cat saliva, house dust, mites, cockroaches, and pollen. There are many sources of these pollutants. Identification of these contaminants often indicate elevated relative humidity level in a home and/or improper ventilation which would need to be addressed. State and local codes and regulations regarding disposal of toxic household wastes must be followed. Texas WAP crews/contractors shall take every precaution necessary to minimize exposure to air pollutants.

When using chemicals and products that may contain any of the pollutants within this category, strict adherence to label instructions and precautions shall be required. Known pollutants must be removed by the client or a contracted professional prior to performance of weatherization work.

Health and Safety Guidance

- [EPA Guidance on Common Household Wastes & Materials](#) • [Indoor Air Quality](#)

Testing protocols

Sensory inspection shall be the primary detection method.

6.9 – Fuel Leaks (please indicate specific fuel type if policy differs by type)

Concurrence, Alternative or Deferral/Referral

- Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral
 Unallowable Measure

Fuel leak remediation protocols

Natural gas and LP gas piping system inspection and leakage testing will be conducted. An inspection of the accessible gas piping and connections, from the natural gas meter or LP gas tank to a point where the supply line connects to the gas valve of all appliances shall be completed.

When a minor gas leak is found on the utility side of service, the utility service must be contacted before work may proceed.

Where the auditor confirms gas leakage or identifies deficiencies in gas piping materials, connections, components, or supports, the deficiencies shall be marked and noted in project documentation. The homeowner/occupant shall be notified that repairs must be made. The auditor shall recommend that the homeowner/occupant immediately notify the gas company and/or a qualified professional to evaluate and perform all necessary repairs. Notify utilities and temporarily halt work when leaks are discovered that are the responsibility of the utility to address.

At what point are fuel leaks considered beyond the scope of weatherization?

Minor repairs/replacement are allowed and includes but not limited to:

- Worn and/or leaking flexible gas lines and any flexible connectors manufactured prior to 1973
- Worn or damaged gas valves
- Appliance gas valve/regulator housing and connections

Unit deferral shall be required if major repairs are Identified that would be cost prohibitive to the subgrantee’s H&S budget or leaks are found on the utility side of service.

Testing protocols

Subgrantees must test exposed gas lines for fuel leaks from utility coupling into and throughout the home.

Conduct sensory inspection on bulk fuels to determine if leaks exist.

6.10 – Gas Range/Ovens

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Unsafe gas range/ovens policy

Replacement of cook stoves is not allowed with DOE funding. Cook stove replacements must utilize funds from a funding source other than DOE. Repair and cleaning of cook stoves is allowed with DOE funding.

Cook Stoves with high CO:

- Clean or repair.
- If it still has high CO levels, then see if another funding source is able to pay for the stove replacement.
- If no other source, the house must be deferred until the occupant can address the stove.
- Units containing ovens with CO levels of 225 ppm (as measured) or higher which cannot be remedied must be deferred. The money spent trying to unsuccessfully clean/repair the oven would be charged to Program Support.

The Department has defined maximum acceptable CO readings of stoves as follows:

- Cook stove burners will only require a visual inspection of flame quality and proper operation.
- 225 ppm CO as measured maximum acceptable readings for cook stove ovens.

Testing protocols

Test gas ovens and burners for CO

Inspect cooking burners and ovens for operability and flame quality

6.11 – Hazardous Materials Disposal [e.g., Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.] (please indicate where policy differs by material)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Hazardous materials disposal policy (existing material/appliance and hazardous material)

Hazardous Waste Materials generated in the course of weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable.

Refrigerants shall be pumped into a recovery tank and disposed at an EPA approved site.

Proper disposal procedures for Asbestos are available at Texas Commission on Environmental Quality (TCEQ):

Special Waste Disposal:

- http://www.tceq.texas.gov/permitting/waste_permits/msw_permits/msw_specialwaste.html

Texas WAP crews/contractors will follow all EPA RRP requirements for disposal of lead as well as state and local code requirements.

Disposal procedures for mercury will follow TCEQ guidance available here:

- https://www.tceq.texas.gov/assets/public/comm_exec/pubs/rg/rg-377.pdf

Documentation requirements

Subgrantees are required to document disposal requirements in contract language with the responsible party and maintain disposal records are available upon request.

**6.12 – Injury Prevention of Occupants and Weatherization Workers
(e.g., repairing stairs and replacing handrails)**

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Injury prevention measure(s) policy

Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Porch or stair repairs that would be required to make a home safe for weatherization workers are not an allowable measure in the program. Such situations are considered to be beyond the scope of Texas WAP. OSHA 10 for crew members and OSHA 30 for supervisors training will be scheduled by the Subgrantee for uncertified staff.

Define and quantify minor or allowable injury prevention measures. At what point are these considered beyond the scope of weatherization?

Minor injury prevention measures can include minor electrical repairs as described in section 6.7. Proper safety protocols should be followed to reduce risk of injury as described in sections 5.0 and 6.20. Other injury prevention measures would be considered beyond the scope of WAP and shall result in unit deferral.

6.13 – Lead Based Paint

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Lead safe work protocols

Weatherization requires all weatherization crews/contractors working in pre-1978 housing to be trained in Lead Safe Weatherization (LSW) and follow EPA's Lead; Renovation, Repair and Painting Program (RRP) rule. Deferral is required when the extent and condition of lead-based paint in the structure would potentially create further health and safety hazards.

In all pre-1978 homes, crews/contractors must assess the physical condition of the structure prior to conducting an audit. Texas recommends assuming that lead paint may be present in any structure built prior to 1978 and to follow the proper DOE LSW protocols, OSHA regulations and EPA regulations in all pre-1978 structures.

Texas WAP crews/contractors must follow all EPA RRP requirements for disposal as well as state and local code requirements.

Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards.

Only those costs directly associated with the testing and lead safe practices for surfaces directly disturbed during weatherization activities are allowable.

State policy mandates all workers on site on any weatherization project, whether they be a crew based employee of one of the subcontractors or a private sector contractor, must complete an eight (8) hour Lead Safe Worker Practices Workshop.

Best Practice:

- [Lead-safe Process and RRP Requirement](#)

WX Videos

- [12 Steps to Lead Safety](#)
- [Health & Safety Series: Respirators & Personal Protective Equipment](#)

Health and Safety Guidance

- [Lead; Renovation, Repair, and Painting Program; Lead Hazard Information;](#) • [Renovate Right](#)

Testing protocols

Testing to determine presence of lead in paint that will be disturbed by WAP measure installation is allowed with EPA-approved testing methods.

Testing methods must be economically feasible and justified

Job site set up and cleaning verification is required by a Certified Renovator.

Texas WAP crews/contractors will use LSW work practices that decrease the amount of dust generated and follow all EPA RRP requirements.

Grantee compliance staff verify crews are using lead safe work practice during the annual Subgrantee monitoring.

Documentation requirements

Documentation in the client file must include Certified Renovator certification; any training provided on-site; description of specific actions taken; lead testing and assessment documentation; and, photos of site and containment set up. Include the location of photos referenced if not in file.

6.14 – Mold and Moisture

(e.g., drainage, gutters, down spouts, extensions, flashing, sump pumps, dehumidifiers, landscape, vapor retarders, moisture barriers)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure Other Funding Source Addresses H&S Issue

Moisture related issues in dwellings policy

Limited water damage repairs can be addressed by weatherization workers. Correction of moisture and mold creating conditions are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability of the measures. Where severe mold-like substance and moisture issues cannot be addressed, deferral is required.

Visual assessment is required and diagnostics such as moisture meters are recommended pre-assessment and prior to final inspection. The assessment shall assure existing mold-like conditions are noted, documented and disclosed to the client; and, shall assure existing building envelope conditions do not contribute to mold-like growth when weatherization measures are applied. Mold-like substance assessment means a visual assessment combined with certain allowable diagnostics. It does not mean testing for mold. **DOE funds may not be used to test for mold-like substances.**

Texas WAP crews/contractors shall follow the Mold/Moisture Assessment Checklist when conducting the mold-like substances assessment at the time of the audit. Assessment shall include a general examination of the building to include:

- Examine structure, maintenance activities, occupancy patterns
- Visually look for mold-like substances and water staining
- Look for evidence of standing water
- Look for evidence of condensation
- Check basement or crawl space and attic for proper venting and exhaust
- Soils: Soil grade or drainage toward foundation
- Standing water adjacent to foundation
- Wall and roof damage allowing water intrusion
- Missing or blocked rain gutters
- No downspout extensions
- Firewood stacked adjacent to house
- Excessive shrubbery around foundation
- Heating/cooling systems:
 - Air intakes: debris (organic) vs. clean air
 - Filters: dirty, damp, poor type
 - Heat exchangers: dirty & damp coils, condensate pans, drainage, stagnant water
 - Ducts: contamination, moisture
- Occupied Space:
 - Plumbing leaks
 - Water stains on walls, ceilings and around windows
 - Musty odor
 - Surface Condensation (especially during mild weather)
 - Mold-like substances on carpeting

- Humidifiers
- Window air conditioners
- Lack of bathroom, kitchen exhaust
- Clothes dryer not vented to outside
- Firewood stored indoors
- Wet clothes drying indoors

The DOE Training Resource:

- [Mold and Moisture](#) given by Michael Vogel of MSU Weatherization Training Center is available to all Subgrantees through TDHCA’s website.

Best Practice:

- [Mold-safe Process](#)

Define and quantify minor or allowable moisture-related measures. At what point are these considered beyond the scope of weatherization?

Defined in Mold-Safe process flow-chart:

- [Mold-Safe Process Flowchart](#)

6.15 – Pests

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Pests and pest intrusion prevention policy

Pest removal is allowed only where infestation would prevent weatherization or poses a health and safety concern for workers. Infestation of pests may be cause for deferral where it cannot be reasonably removed.

Determine whether the pest infestation would prevent or hamper the weatherization work. If removal is a viable and cost-effective option, take the necessary steps to remove the pest infestation problem so that the weatherization work can proceed. If removal is not a viable and cost-effective option or significant health and safety risks exist, defer the weatherization work and provide client with appropriate referral information.

Best Practice:

- [Pests BP](#)

Define and quantify pest infestation thresholds. At what point are these considered Beyond the scope of weatherization

Costs beyond \$50 in labor and materials to mitigate pest infestations will be addressed by TDHCA to determine if deferral is necessary.

6.16 – Radon

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Procedure for radon in dwellings

TDHCA will provide Subgrantees with a Radon Informed Consent Form and the EPA's *A Citizen's Guide to Radon*.

State specific resources can be found at:

- [EPA Radon Resources](#)

The Texas Department of State Health Services website also contains useful information:

- [THHS Radon Resources](#)

Testing protocols

Testing is not authorized in Texas WAP as Texas has no areas of "Highest Potential," according to the United States Environmental Protection Agency standards.

Documentation requirements

Client signed informed consent form.

6.17 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance

Alternative Guidance

Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Installation or replacement policy for the following safety devices:

Smoke Alarms:

Smoke alarms may be installed where alarms are not present or are inoperable.

Ceiling-mounted smoke alarms must be mounted at least 6 inches from any wall. Wall-mounted smoke alarms must be installed at least 6 but less than 18 inches from the ceilings. They should always be installed according to applicable local codes or ordinances.

Smoke Alarms shall be installed per IRC. R314.3 Location. Smoke alarms shall be installed in the following locations:

- In each sleeping room.
- Outside each separate sleeping area in the immediate vicinity of the sleeping room.
- On each additional story of the dwelling, including basements and habitable attics and not including crawl spaces and uninhabitable attics. In Dwelling Units with split levels and without an intervening door between the adjacent levels, a smoke alarm installed on the upper level shall suffice for the adjacent lower level provided that the lower level is less than one full story below the upper level.
- Smoke alarms shall be installed not less than 3 feet (914 mm) horizontally from the door or opening of a bathroom that contains a bathtub or shower unless this would prevent placement of a smoke alarm required by Section R314.3.

Carbon Monoxide Alarms:

Per ASHRAE 62.2, at least one CO alarm must be present in every home. CO alarms must be installed to the IRC or local code regulations.

CO alarms must be installed where alarms are not present or are inoperable.

A CO alarm should also be installed in accordance with SWS. Always install CO alarms according to the manufacturer’s instructions.

R315.3 Location. Carbon monoxide alarms in Dwelling Units shall be installed outside, in the immediate vicinity, of each separate sleeping area. Where a fuel-burning appliance is located within a bedroom or its attached bathroom, a carbon monoxide alarm shall be installed within the bedroom.

R315.6.1 General. Household carbon monoxide detection systems shall comply with NFPA 720. Carbon monoxide detectors shall be listed in accordance with UL 2075.

R315.6.4 Combination detectors. Combination carbon monoxide and smoke detectors shall be permitted to be installed in carbon monoxide detection systems in lieu of carbon monoxide detectors, provided that they are listed in accordance with UL 2075 and UL 268.

Fire Extinguishers:

A fire extinguisher may be provided in homes with solid fuel burning equipment. The fire extinguisher must be installed according to the manufacturer’s standards and local code in the vicinity of the primary heating source.

Testing protocols

Check existing alarms for operation.

Verify operation of installed alarms.

6.18 – Ventilation and Indoor Air Quality

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Version of American Society of Heating Refrigeration and Air-conditioning Engineers (ASHRAE) 62.2 Implemented (optional: identify Addenda used)

Texas WAP has adopted the ASHRAE 62.2 2016 standard.

Procedures for complying with implemented ASHRAE standard

Pre and post ventilation requirements are calculated using the current Grantee approved calculator to ensure of ASHRAE compliance in regards to required ventilation, run-time, etc.

- [ASHRAE 62.2-2016 Calculator](#)

Calculator required inputs will be captured on the TDHCA Blower Door and Duct Blower Sheet as support documentation.

- [Blower Door and Duct Blower Data Sheet \(XLS\)](#).

Testing protocols

ASHRAE 62.2 evaluation to determine required ventilation.

Obtain required ASHRAE calculator data to include floor area, number of occupants/bedrooms, dwelling height, BD leakage, and measure fan flow of existing installed to verify performance.

6.19 – Window Repair, Door Repair

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Window repair and door repair H&S policy

Replacement, repair, or installation is not an allowable health and safety cost but may be allowed as an efficiency measure if cost justified.

Crews/contractors must be trained in Lead Safe Weatherization (LSW) and follow EPA’s Lead Renovation, Repair and Painting Program (RRP) rules for pre-1978 homes.

6.20 – Worker Safety (e.g., OSHA)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Federal, state and local worker safety requirements policy

Workers must follow OSHA standards and Safety Data Sheets (SDS) and take precautions to ensure the health and safety of themselves and other workers. SDS must be posted wherever workers may be exposed to hazardous materials.

Trained in either OSHA 10 (crew members) or OSHA 30 (supervisors).

As part of the safety for crew, assessors will identify health and safety hazards according the OSHA method “Focus Four” which includes, electrical, fall protection, caught in and between, and struck-by hazards. The client will be informed in writing of any hazards and the associated risks that may have been observed.

Health and Safety Guidance

- [OSHA Focus Four](#)

6.21 – Water Heaters

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance Alternative Guidance Results in Deferral/Referral

Unallowable Measure with DOE Funding Other Funding Source Addresses H&S Issue

Water Heater Remediation Protocols

Replacement or repair of water heaters is allowed on a case by case basis when the current appliance is creating moisture, combustion, and/or electrical related hazards that could impact occupant(s) Health and Safety. The Subgrantee must initially attempt to qualify existing Water Heater as an ECM. If the Water Heater does not rank, the Subgrantee may repair or replace the existing unit as a Health and Safety Measure with the caveat that there is a documented threat to the health and/or safety of the occupant(s). Further details are discussed in the Water Heater Replacement Best Practice on the TDHCA Website:

- [BP-Water Heater](#)

Testing protocols

Visual/sensory inspection, appropriate combustion appliance testing for gas units, and water temperature testing.

Note- H&S Matrix was completed with subgrantee input and determined that pricing variables to remedy identified H&S issues can slightly skew the estimated H&S percentage calculation (Example-Furnace repair/replacement can range from a \$150.00 repair to a full system replacement at \$2500.00).