

New York State Weatherization Assistance Program

American Recovery and Reinvestment Act Funding Plan

As Submitted to the US Department of Energy National Energy
Technical Laboratory

New York State Division of Housing
and Community Renewal
Office of Community Development

David A. Paterson, Governor
Deborah VanAmerongen, Commissioner

A Message from the Commissioner

It is my pleasure to share with you the NYS Weatherization Plan for use of the American Recovery and Reinvestment Act (ARRA) funds. The Plan outlines the Division of Housing and Community Renewal's strategy to effectively utilize ARRA funds in a manner consistent with the requirements of the Act.

Low-income New Yorkers are faced with the combined challenges of high energy costs, a severe economic crisis, and a housing credit crisis that has led to foreclosure and displacement. The Weatherization Assistance Program provides assistance to relieve these stresses by making homes safer, more affordable and more energy-efficient. It reduces greenhouse gas emissions and creates well-paying "green" jobs. This increase in economic activity helps support local economies and leaves low-income families with more resources for housing and other needs.

The Recovery Act appropriated significant funding for the Weatherization Assistance Program. In New York, ARRA funding will provide approximately \$394 million for the Program, making the state the largest recipient of Weatherization Assistance Program funding. Under Governor Paterson's leadership, New York has an ambitious agenda for utilizing these resources, and the Division of Housing and Community Renewal, along with our state and federal partners, stands ready to carry out this plan to make the homes of working families more energy efficient and affordable.

With the additional funding ARRA provides, more than 45,000 low-income households will receive weatherization assistance. In addition to the assistance to low income households and the environmental benefits that will result from the energy efficiency measures, ARRA funding will create new employment opportunities and retain jobs associated with the weatherization activities.

With only slight revisions, New York's plan for use of the ARRA funds is consistent with the policies and strategies of the successful and long established NYS Weatherization Assistance Program.

To address the increase in funding and the need to expend ARRA funds in a manner consistent with the Act's requirements, DHCR has revised the 2009 Weatherization Plan in the following manner:

1. Expand production capacity of existing sub-grantee network through additional funding and expanded training opportunities for the employees and contractors of the Weatherization providers.
2. Solicit additional "temporary subgrantees" that will assist with the increased production demands created by ARRA, and allow the Program to target specific low income housing portfolios.

3. In addition to the development of a comprehensive training program for subgrantees and contractors engaged in Weatherization activities, DHCR is coordinating with other state agencies such as the NYS Department of Labor, NYS Office of Temporary and Disability Assistance, and NYS Energy and Research and Development Authority on all workforce development opportunities. This coordination among state agencies will assist in expanding the emerging “green job” workforce in New York.

This Plan provides the strategy in which DHCR will successfully administer the Weatherization funding made available through ARRA in a manner that not only meets all federal requirements, but also seeks to leverage all opportunities created by the additional funding. On behalf of Governor Paterson I am happy to share this with you, and invite the participation of all New Yorkers in the program as we move forward.

Deborah VanAmerongen
Commissioner

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Executive Summary

The New York State Weatherization Assistance Program Plan for American Recovery and Reinvestment Act (ARRA) funds serves as New York's application for Weatherization funds and the guide for allocation of more than \$394.6 million in federal residential energy conservation funding. These funds will provide assistance to more than 45,000 households across the State. The plan was prepared in accordance with the Final Rule for the Program (10 CFR Part 440), and with Recovery Act Grant Guidance issued by the US Department of Energy (DOE).

The purpose of the Weatherization Assistance Program is to install energy conservation measures in the homes of income-eligible persons, especially homes occupied by the elderly, persons with disabilities, and children. Funds are targeted to the most cost-effective conservation measures, determined from an on-site energy audit of the building. The program is intended to reduce national energy consumption, particularly of imported oil, and to reduce the impact of higher energy costs on low-income families.

New York relies on a network of highly skilled subgrantees that provide program services in each of the State's 62 counties. Subgrantees provide energy conservation services through their own trained crews and by subcontracting work to local contractors. Energy conservation measures funded through the program range from air sealing, to prevent infiltration of cold air and reduce drafts, to installation of insulation to significant repairs and modifications to heating systems in large apartment buildings. The program assists all types of housing units, from small homes to apartment buildings with hundreds of units.

The Weatherization Assistance Program provides important resources for low-income households in New York. The latest US Census figures showed more than 2.6 million people in the State with incomes below the federal poverty level. The State's climate, with cold, snowy winters and hot, humid, summers, generates a high demand for heating fuels and for electricity for cooling. Many eligible households live in housing that was built when energy was cheap and plentiful. New York's housing stock is one of the nation's oldest, and the State has the highest proportion of renter-occupied housing of any State in the country. It's not uncommon for low-income residents of the State to pay 15% or more of their monthly income for utility costs.

One of Governor Paterson's first official acts was to issue Executive Order 2, which created a State Energy Planning Board charged with, among other tasks, developing strategies to reduce demand through increased conservation and efficiency. This effort was coordinated with several other on-going initiatives, such as the Renewable Energy Task Force (which includes an energy efficiency subcommittee) and the Public Service Commission's Energy Efficiency Portfolio Standard proceeding. DHCR has been participating in these efforts, which have both identified additional resources to support energy conservation for low-income households and new strategies for more efficient use of State and federal resources, so that more households can benefit from available resources.

Under the Governor's direction, coordination among agencies that administer energy, housing and human service programs has increased significantly. This plan will describe new efforts to ensure that Weatherization assistance is targeted to households receiving Home Energy Assistance Program benefits, and the State's activities to develop a "green workforce" will provide skilled workers who subgrantees can hire, to successfully implement the increased funding provided by the Recovery Act.

As required under the ARRA, this plan describes the State's strategy for the use of ARRA funds. In most respects the plan is consistent with the Weatherization Program Year 2009 plan that was prepared for "regular" program funding allocations. This plan describes DHCR's strategy for adding temporary subgrantees and increasing the weatherization workforce, through coordinated workforce development and training programs, and to utilize Recovery Act funds in an effective manner within the time allowed.

Section One provides an overview of the Program, detailing the advisory mechanisms that have been established to provide policy guidance on the need for low-income energy conservation assistance in the State. The method for distributing funds, characteristics of the State's housing stock, type of work that will be done through the program, and the expected cost savings from performing the work are also documented in Section One.

Section Two provides the proposed allocation of funds for Recovery Act funding, and details the method that the State uses to allocate funding. That section also sets forth criteria for continued subgrantee participation in the Program, for identifying new subgrantees when necessary, and describes the type of work that will be done in each unit.

Section Three explains the process for implementing program activities, including the plan for soliciting public participation in the development of Plan activities, and provides other components of the state plan that are required by DOE, such as information on Program contracting and payment processes, allocation of funds within each unit, and special initiatives that DHCR will promote during the Program Year, including those designed to leverage other funds for conservation activities.

Section Four provides the Health and Safety Plan for the Program, and Section Five documents the additional training that will be provided for new and existing workers and contractors and how and over what time that training will be provided. DHCR has been involved in a substantial workforce development effort in support of Governor Paterson's commitment to create green jobs, as a strategy for mitigating the effects of the current economic downturn. This effort is being coordinated with the State Department of Labor, the NYS Energy Research and Development Authority, the Office for Temporary and Disability Assistance, the Center for Energy Efficiency and Building Science and others. This section also describes DHCR's strategy for monitoring the work of subgrantees to ensure that high quality work is performed with all funds provided by DOE. DHCR will continue to provide leadership to the national network in monitoring and oversight. Our monitoring plan, which ensures full accountability and that only authorized work is performed with DOE funds, has been recognized as a national best practice. It includes provisions for extensive on-site

monitoring, reporting, site investigations and related measures, details unit inspection procedures, the frequency of site monitoring and how recipient eligibility will be monitored and enforced as well as strategies for ensuring compliance with all reporting requirements under the Recovery Act and specified in the FOA.

DOE has established the following Mission Statement for the Weatherization Assistance Program:

“To reduce heating and cooling costs for low-income families, particularly for the elderly, people with disabilities, and children, by improving the energy efficiency of their homes and ensuring their health and safety.”

DHCR’s mission is:

“To make New York State a better place to live by supporting community efforts to preserve and expand affordable housing, home ownership and economic opportunities, and by providing equal access to safe, decent and affordable housing.”

DHCR administers programs that provide safe, decent, and affordable housing and improve New York’s communities through strategic interventions. Energy conservation services are a critical component of this mission. During the past several years we have instituted strategies to coordinate the Weatherization Assistance Program with other State housing initiatives. These efforts have in turn resulted in increased leveraging of other resources and maximized the efficiency of program efforts. DHCR strives to ensure that its housing and energy assistance programs meet the highest standards of professionalism, technical expertise, and quality control. At the same time, our commitment is to serve the neediest segment of our population; accordingly, priority is given to elderly households, persons with disabilities, and families with children.

The Weatherization Assistance Program is uniquely designed to address the problems that high energy costs pose to low-income residents, and to the State’s economy. Each dollar invested in program activities can be expected to result in a savings of about three dollars in energy costs over the life of the installed measures. In partnership with DOE, New York State will ensure that these wise public investments in our future will continue.

SECTION 1 - STATEWIDE INFORMATION

Section 1.1 Overview of the Program

The Weatherization Assistance Program (the “Program”) is administered in New York State by the Division of Housing and Community Renewal (DHCR), through its Office of Community Development. The Program provides energy services to income-eligible individuals and families to improve the energy efficiency of their dwellings and to reduce their housing expenditures for fuel. Since the inception of the Program in 1977, more than 500,000 dwellings have been weatherized in New York.

Priority for weatherization activities is given to households with children, the elderly, and persons with disabilities. Funds are also used to weatherize the dwelling units of homeowners and renters with high fuel costs in relation to their household income. Some of these households are identified by a local office for the aging or local department of social service.

Program services are delivered through a statewide network of local service providers, referred to as subgrantees. DHCR requires that subgrantees follow sound internal management policies and provide skilled workmanship, high quality materials, and timely production of units. The performance of these subgrantees is evaluated on a continuing basis throughout the program year. Subgrantees include community action agencies, other community-based not-for-profit organizations, and local governmental agencies. Under contract with DHCR, subgrantees perform a number of services, including: a) identification of eligible clients; b) evaluation of dwelling units to be weatherized; c) installation of energy-saving measures; d) identification and mitigation of related health and safety concerns; e) supervision of weatherization work performed by staff or subcontractors; f) maintenance of client and program files; and, g) preparation of regular management and fiscal progress reports. DHCR has the responsibility for overall monitoring and oversight and provides an ongoing training program to improve services.

Policy Advisory Council

Pursuant to 10 CFR Part 440.17, New York has established a Policy Advisory Council (PAC) to assist in the development and operation of the Program and provide advice in the development of the State Plan. The PAC is broadly representative of subgrantees, energy advocates, State agencies, and other organizations - including consumer groups - that represent low-income persons in New York. PAC members are well-versed in energy and housing issues. A list of current PAC members and their affiliation is attached as Appendix A.

During the program year, the PAC will meet approximately every two months, with agendas covering a range of issues of concern to subgrantees, low-income clients, and program partners. DHCR typically provides updates on funding, program rules, coordination with other programs, and related issues at PAC meetings.

Subgrantee Task Force

The Subgrantee Task Force is a forum open to subgrantee weatherization directors and staff. The Task Force provides opportunities for subgrantees to meet with their peers and DHCR staff to discuss the status of the program and identify and resolve a variety of program concerns.

There are generally three statewide and three regional Task Force meetings held during the Program Year. The statewide meetings are open to all weatherization directors and the agenda for these meetings deal with issues of statewide scope and significance. The regional meetings provide an opportunity to discuss issues of more local significance.

Funding Distribution

New York allocates available federal funding to each county based on a formula which includes factors related to income-eligible population and climate. Additionally, a portion of the total funding is reserved to provide a minimum level of funding to each county where the allocation formula did not generate significant program funding.

New York assigns a subgrantee to cover each county in the State, to provide weatherization services to the eligible population. In urban counties, there is typically more than one subgrantee serving each county, each assigned to a specific service area. In non-metropolitan counties subgrantees typically serve an entire county or a two-county area.

Funding for the 2009-2011 Program Years

New York received \$98.8 million in regular program funding for the 2009-2010 Program Year. This amount included \$36.6 million in DOE funds and \$62.2 million of new HEAP funds. The Recovery Act will provide an additional \$394,686,513 in DOE program funds.

New York will provide funds to existing subgrantees based upon their compliance with all State and federal requirements and the successful completion of their Program Year 2008 budget allocation. Many subgrantees will receive allocations of Recovery Act funding that are three times their existing allocation, or even more. Additionally, as described in Section Two DHCR proposes to retain flexibility to add or change subgrantees to meet the obligations created by ARRA. The overall budget period for Recovery Act Funds will begin July 1, 2009 and end September 30, 2011. This will allow subgrantees sufficient time to “ramp up” production yet provide for timely expenditure of funds in accordance with Recovery Act goals.

Section 1.2 Climatic Conditions Within the State

The climate of New York varies from temperate coastal conditions to cold mountainous conditions. Climate is a key element in the formula used for allocation of program funds.

Climate severity is measured in heating and cooling degree days, which are indicators of how much fuel will be necessary on any given day to maintain comfort conditions in a home. The number of degree days is equivalent to the difference between a day's actual average temperature and 65 degrees. On average, the State has over 7,000 combined heating and cooling degree days per year.

Data on degree days is compiled on an annual basis by the National Climate Data Center. The allocation formula (see Section 2.1) uses 30-year averages for annual degree days to indicate the relative severity of climate in New York locations and its impact on the low-income housing affordability.

Section 1.3 Type of Weatherization Work to Be Done

New York allows subgrantees to install any measures permitted by federal regulations. The work done in each unit is determined by a DOE-approved energy audit. Generally, this work consists of air sealing, insulation, heating system repairs, window or heating system replacement, electric base load reduction, and work items that mitigate energy-related health and safety concerns. Other than health and safety measures, only those measures with a savings-to-investment ratio of 1.0 or greater can be installed by subgrantees. In other words, the cost of installing energy conservation measures in a building must not exceed the savings that can be expected during the normal life of the installed work.

New York encourages use of renewable energy systems, alternative energy sources, and other "green" practices in its housing and energy programs. DHCR will consider installation of renewable energy systems and green building materials on a case-by-case basis, or as part of a pilot program when proposed by subgrantees. Installation of renewables will only be permitted when consistent with DOE guidance and justified by a savings-to-investment ratio of 1.0 or higher, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A, or otherwise be approved by DOE for use in the program. Subgrantees proposing installation of renewable energy systems will be required to obtain prior approval from the appropriate DHCR regional supervisor. DHCR also encourages subgrantees to consider innovative measures, such as small-scale solar, and will seek DOE approval when necessary.

New York will also permit fuel switching on a limited basis, due to the relatively high cost of electricity in the State and the prevalence of electrically-heated rental units occupied by low-income households (see the following section). Fuel switching will only be permitted to convert an electrically-heated building to a gas or oil heating system, and only when significant cost-savings can be demonstrated. Finally, New York will also explore the feasibility of additional measures, such as freezer replacement, domestic hot water fuel conversion, and conversion of electric dryers to natural gas. These items will be subject to DOE approval.

New York encourages subgrantees to include refrigerator replacement as a component of their weatherization program. This component includes the removal and proper "de-manufacture" of the old unit and replacement with an energy-star rated refrigerator for Program-eligible clients. New York has also implemented a "Clean Boilers Program" which

qualifies heating system contractors as eligible bidders and establishes a Master Bidders List for multi-family heating systems installed within the weatherization program.

Energy Audits

Weatherization subgrantees in New York use the **Targeted Investment Protocol System** (TIPS) energy audit to analyze building energy usage and set priorities for weatherization work in one- to four-family buildings and the **Energy Audit Using the Queens Information Package** (EA-QUIP) for this purpose in multi-family buildings.

New York also has DOE approval for use of the **Targeted Residential Energy Analysis Tools** (TREAT) Energy Audit, which was developed by the New York State Energy Research Development Authority (NYSERDA). The TREAT software can be used for one-to-four unit buildings, mobile homes and multi-family buildings. Subgrantees using TREAT for NYSERDA programs, or in buildings that have had TREAT audits conducted for other programs, can also use TREAT for Weatherization, to avoid the need for multiple audits. TIPS and EA-QUIP audits will continue to be used for most buildings assisted by the program. DHCR may, upon request, provide training on TREAT audits, with NYSERDA's assistance, so that all subgrantees can become familiar with its use. This will facilitate further coordination between the Program and New York State's systems benefit charge programs, and provide opportunities for subgrantees to leverage additional funds in the Program. During 2009 DHCR will request that DOE re-approve each of these audits for use in the Program.

Subgrantees that have received prior approval from DHCR may conduct their own audits using EA-QUIP or TREAT; others may access a centralized multi-family audit service provided by the Association for Energy Affordability (AEA). DHCR may also issue a Request for Qualifications to identify additional audit service providers. DHCR also has implemented a quality control and review process for subgrantees that are designated to conduct their own audits.

There are approximately 170,000 mobile homes in New York. About 4% of all units outside New York City are mobile homes. New York uses the TIPS audit process to determine mobile home work scopes. In the past two years DHCR has conducted a series of training sessions intended to familiarize subgrantees with the use of TIPS in mobile homes.

Rental Housing

In accordance with DOE grant guidance to limit undue or excessive enhancement to the value of rental dwelling units, New York requires subgrantees to solicit an investment in the weatherization work from building owners when assisting rental units. Owners who are not themselves eligible for Program assistance are required to invest in the cost of the weatherization services provided to their buildings. The minimum investment that owners must provide is 25% for buildings with fewer than 50 units, and 35% for buildings with 50 units or more. Our leveraging efforts are anticipated to generate more than \$33.5 million in owner contributions, which will be used to provide additional weatherization services to low-income tenants. Subgrantees are required to set goals for rental unit completion, based on the

proportion of low-income households in their service area. DHCR provides training, technical assistance, and other support, including allowing subgrantees to prioritize tenants in rental units on waiting lists, to maximize inclusion of rental housing in the program.

DHCR has established policies for collecting owner contributions, and a waiver process that subgrantees must follow for owners who cannot meet the required investment level. These policies are delineated in the Policies and Procedures Manual. DHCR also works closely with NYSEERDA to utilize the loan underwriting function that they have incorporated into their Multifamily Performance Program, which analyzes building owners' ability to participate and to contribute to the financing of the work. For more information on this program see Section 3.6. In response to the impact that the current recession is having on owners' ability to access capital and credit, DHCR will provide maximum flexibility to owners that can demonstrate the inability to provide the required match as a result of economic hardship. DHCR will issue additional guidance to subgrantees on the criteria that must be met when seeking a waiver under these conditions.

DHCR has also developed a process, which is outlined in the Policies and Procedures Manual, to name tenants as third-party beneficiaries of the agreement between the weatherization subgrantee and the building owner. The tenant becomes the primary enforcer of the terms of the agreement which affect his/her rights. If a building owner violates the terms of the agreement, the tenant has legal recourse as a result of being named as a third party beneficiary to the agreement. In practice, no more than a letter reminding the owner of the terms of the weatherization agreement has generally been necessary. No monitoring is needed by either the State or the weatherization subgrantee. The system is simple and workable, and does not place undue responsibilities on the subgrantee agencies or State.

DHCR will utilize Recovery Act funds to increase the amount of assistance provided to privately-owned rental units in the Program. Subgrantees working in areas with high concentrations of rental housing will be monitored closely to ensure that low-income renters – particularly those living in smaller rental buildings - are served in proportion to the number of rental units in each county. Additional subgrantees may be designated to administer Recovery Act funding targeted to specific housing portfolios, leverage other resources and supplement the capacity of the existing subgrantee network.

Quality Assurance

All weatherization work completed by subgrantees in New York is inspected by the subgrantee before it is presented to DHCR. After the work is presented to DHCR, field staff visit subgrantees to inspect a sample of the dwelling units that were weatherized (depending on the type of work performed) to ensure that the dwelling units reported have been completed in accordance with all State and federal program requirements.

DHCR plans on significantly increasing resources assigned to the Program to ensure that Recovery Act funds are implemented in compliance with the transparency and accountability provisions of the Act. The proposed plan will greatly increase the capacity of field staff, fiscal staff, support staff, staff assigned to prevailing wage compliance, and staff assigned to training

and technical assistance. DHCR may utilize contractors, where appropriate, to implement portions of the oversight plan. More detail on DHCR’s program structure and staff plan is provided in Section 5 of this Plan.

Health and Safety

DHCR has developed and implemented protocols designed to identify and correct, where allowed by DOE rules, health and life safety concerns in dwelling units being weatherized. Up to ten percent of the cost of materials allocated to DOE Program funds will be used to mitigate energy-related health and safety problems. DOE funds will be used to assure that all dwelling units weatherized will receive smoke detectors and, where appropriate, carbon monoxide detectors. The Program Health and Safety Plan is detailed in Section 4.

Section 1.4 Population to Be Served

Although more than 500,000 dwelling units have been weatherized by the Program since 1977, much is left to be done. There are currently an additional 1.5 million households in New York that are eligible for service under the Program. Many of these are families who need programs like Weatherization to reduce their energy bills and assure them more affordable housing. These households are desperately in need of the savings weatherization improvements can provide.

The income-eligibility guidelines are set at 60% of the State’s Median income level. This threshold has been selected by New York in accordance with federal HEAP regulations (Public Law 97-35, Sec. 2605 (b)(2)(B) and 10 CFR Part 440.22(3)). Under these criteria, more than 3.5 million persons who reside in 2.1 million households are eligible for the Program services.

The 2008-2009 income eligibility thresholds are:

<u>Size of Household</u>	<u>Annual Income</u>
1	\$23,556
2	\$30,804
3	\$38,064
4	\$45,312
5	\$52,560
6	\$59,808
7	\$61,164
8	\$62,520
9	\$63,888
10	\$65,244
11	\$69,600
Each additional person add:	\$ 5,400

Although the Recovery Act provides significant resources for the program, funding is still not sufficient to assist all eligible households. Subgrantees are required to give priority for

service to households with elderly persons, households with children under 18 years of age, households containing persons with disabilities or medical problems that weatherization services can assist, and HEAP recipients with extremely high energy use or certain other high needs. Guidelines for providing service to priority clients are in the Policies and Procedures Manual.

DHCR is committed to providing services to persons with disabilities. New York will continue to give priority to persons with disabilities in providing Program services. The New York State Commission on Quality of Care and Advocacy for Persons Disabilities estimates that there are 2.5 million persons with disabilities in New York. Based on weatherization service population figures, between 10 percent and 15 percent of all income-eligible households have members who have disabilities. Program services for persons with disabilities will use approaches similar to those used for the elderly. As in previous years, an authorized representative will be permitted to apply for services on behalf of individuals who are unable to leave their homes. Subgrantees will provide home visits or mail-in application procedures to persons who do not have access to services of an authorized representative.

More than 20 percent of New York's low-income households are elderly. New York will continue to give priority to elderly-occupied households in providing Program services. For the purpose of this program, "elderly person" means a person who is 60 years of age or older. The State uses an interagency referral process to refer income-eligible elderly households from local social service and aging offices to weatherization subgrantees.

More than 35 percent of the State's income-eligible households contain children under the age of 18. The quality of indoor air and access to safe heating is of particular importance to children highly vulnerable to chronic respiratory illnesses, such as asthma. DHCR will continue to work with subgrantees to ensure that the Program contributes to improving the health and safety of New York's children.

Income-eligible households living in areas under the jurisdiction of Indian tribal organizations will also receive benefits under the Program equivalent to the assistance provided to all other income-eligible households throughout the State. ComLinks, the Program subgrantee for Franklin County, receives additional funding for service to the St. Regis Mohawk Reservation, and the Seneca Nation of Indians will receive weatherization services through an additional allocation to Cattaraugus Community Action Inc., which covers both Cattaraugus and Allegany Counties.

In accordance with the 10 CFR Part 440.22 (f), the Program will continue the policy by which homeless residences and other non-government-owned group homes and shelters are weatherized using a dwelling unit definition of either 800 square feet or one single floor of such residences.

Approximately 65 percent of the dwelling units weatherized will be renter-occupied. More than two-thirds of New York's income-eligible households live in rental units. During the past several years the State has made an effort to increase the proportion of rental units assisted through the Program. It is projected that of these rental units, approximately 20

percent will be in single-family (one- to four-unit) buildings and 80 percent will be in multi-family buildings. Subgrantees will be encouraged to give priority to eligible clients living in renter-occupied housing so that the number of rental and owner-occupied units assisted in each service area approximates the actual number of eligible households living in the service area.

DHCR will continue to coordinate services with the other State agencies operating energy programs to enhance benefits, use resources collectively and to provide cost-effective home weatherization services to as many households as possible. During the past year, DHCR and the Office of Temporary and Disability Assistance (OTDA) agreed to implement a policy to require subgrantees to target assistance to HEAP recipients that meet certain priority criteria. These criteria include households that have had emergency heating system assistance, pay a high portion of their income for heating costs, seniors who need assistance with daily living activities, and other high-need households. While numeric targets will not be set for Recovery Act funds, subgrantees will be encouraged to continue to prioritize assistance to households that are HEAP recipients and meet these criteria.

New York estimates that approximately 45,000 dwelling units will be weatherized with Recovery Act funds, based on the cost of materials, labor, and program support divided by the cost per unit. The following table provides a projected breakdown by category of all dwellings that will be weatherized:

New York State Weatherization Assistance Program Projected Beneficiaries, Program Year 2009		
Unit Tenure	Number of units to be assisted	Percent of all units to be assisted
Owner-occupied	15,750	35%
Renter-occupied	29,250	65%
Single-family rental (1-4 unit)	5,850	
Multi-family rental	23,400	
Characteristics of Households to be Assisted		
Priority Group	As a percent of all units to be assisted	Percent of all state households in poverty
Persons with disabilities	11.5%	10.6%
Elderly	21.0 %	20.9%
Families with children	39.0%	33.2%
Native American	0.5%	0.5%
All other households	28.0%	34.8%

Section 1.5 Estimate of the Energy Cost to be Saved:

A 1998 study prepared by AEA for DHCR found that average annual energy savings per unit in multi-family buildings assisted by the Program was 29.4 MMBtu. A “metaevaluation” of effects of the program was issued by Oak Ridge National Laboratory in 2005; that study found average savings for gas-heated units in excess of 30 MMBtu, or about 23% of pre-weatherization consumption of natural gas.

The following table summarizes these saving estimates, and projects the expected savings for units to be weatherized during Program Year 2009.

Savings Summary	Building Type		
	Multi (>4 Units)	1 to 4 Units	All Buildings
average savings / unit heating	29.4 MMBtu \$527	45.5 MMBtu \$815	
average savings / unit electric	615 kWh \$82	1230 kWh \$165	
units to be weatherized 2009 Program Year	29,250	15,750	45,000
annual savings ¹ heating and electric	\$17,813,250	\$15,435,000	33,248,250
savings ² after 15 years heating and electric	\$267,198,750	\$231,525,000	\$498,723,750
average cost per unit	\$5,475	\$6,500	
savings per unit over life of installed measures ³	\$9,135	\$14,700	
benefit / cost savings to investment ratio	1.59	2.26	

1. Based on a staff estimate of \$17.91/MMBtu for average fuel prices in New York and a \$0.134 /kWh average electric rate.
2. In 2009 dollars, assumes 3% drop-off in savings per year.
3. Actual life of individual measures varies from two to twenty-five years.

SECTION 2 - SUBGRANTEE INFORMATION

Section 2.1 Allocation of Funds

New York anticipates receipt of \$394,686,513 from DOE in Recovery Act funds. Of this amount, \$19,734,326 will be retained by DHCR for administrative costs, and \$69,020,266 will be reserved for training, technical assistance, and leveraging activities¹.

Of the remaining balance of \$305,931,921, 190,931,921 will be allocated to subgrantees by formula, \$65,000,000 will be used to create an incentive pool for subgrantees who successfully utilize formula allocations during the first year, and \$50,000,000 will be used to create a targeted multi-family initiative for projects undertaken by subgrantees in conjunction with other State housing initiatives (see Appendix C). Please note, any unused administrative or T&TA funds will also be added to the incentive pool. Allocations to individual subgrantees will be subject to a review of production and expenditures during the 2009 Program Year and adjusted downward or incrementally funded where DHCR determines that the 2009 allocation may exceed current capacity.

Funding Allocation Formula

Program funding is allocated by a formula which takes into account climate (in terms of degree days) and the number of income-eligible households in each county (see Appendix B). This formula was updated in 2003. This allocation methodology is similar to that used by DOE to allocate Program funding to the states. The 2003 update reflects 2000 census data and incorporates cooling degree days at 1/10 the weight of heating degree days.

The first factor in the allocation formula (degree days) is determined by the heating degree days and 1/10th of the cooling degree days for each county. An average degree day total has been established for each county using 30-year averages (1971-2000) for weather reporting stations in those counties. In counties where there were two or more reporting stations, degree days were averaged. In counties where reporting stations did not have 30-year averages, the next closest stations were used. The average of the degree days for each county was then divided by the average of the degree days for the State as a whole to yield a percentage. This ratio of each county's degree days to the New York average (7020) is the first factor in the allocation formula.

The second factor in the allocation formula is determined by the number of income-eligible households in each county. This number of income-eligible households was calculated using 2000 census data for households with incomes at or below 150 percent of poverty. This figure was then divided by the total number of income-eligible households in the State to yield a percentage of the total income-eligible households for each county. This percentage is the second factor in the formula.

¹ This amount includes funds for subgrantee training and technical assistance. These funds are not included in the amount available for allocations nor in the subgrantee allocations listed in Appendix C.

These two factors, the percentage of income-eligible households in each county and the ratio of the county's degree days to the New York average, were multiplied to determine the final percentage for each county. Since the degree day factor represents the relative extent to which each county is above or below the State average, the total of degree day factors does not total one hundred. As a result, the final percentages were uniformly adjusted to total 100 percent overall using an adjustment factor of 1.2239, applied uniformly to all counties.

This resulting percentage represents the portion of the total State allocation each county is to receive. This percentage is then multiplied by \$190,931,921 (the amount available for allocation by formula after setting aside funds for training and technical assistance, for the multifamily set-aside, and the incentive pool, each of which is described below), to determine each county's allocation. Where a subgrantee service area includes more or less than one county, proportionate allocations to subgrantees are further determined using 2000 census tract data calculating the number of households at or below 150 percent of the poverty level in each subgrantee's service area.

In the four boroughs of New York City where more than one subgrantee provides weatherization services, DHCR has identified distinct service areas that have boundaries consistent with census tracts. Each subgrantee within these boroughs has signed an agreement to provide services to their designated service area.

DHCR encourages subgrantees to increase the cost-effectiveness of the Program wherever possible. Over the past several years, several subgrantees covering relatively small service areas that did not generate a significant allocation of funds consolidated with other subgrantees, or with other local agencies, to improve cost-effectiveness. DHCR will work with subgrantees in counties that generate low formula allocations to identify appropriate methods to deliver services to residents of those counties.

Targeted Multifamily Set-aside

Approximately \$50,000,000 will be reserved for assistance to targeted multifamily housing. Across the State, there are several individual portfolios of housing occupied by low-income households that have significant needs for energy assistance (such as, for example, HUD-assisted housing, certain housing reserved for special needs populations, and expiring-use tax credit (Low-Income Housing Credit) projects). Much of this housing consists of larger multifamily buildings and may require special expertise. A portion of this targeted portfolio is located in parts of the State where existing subgrantees do not have substantial experience with multifamily housing. This set-aside will be administered by temporary subgrantees (see below) or by existing subgrantees, in addition to the formula allocations.

Incentive Pool

Approximately \$65,000,000 will be reserved as an incentive pool available to existing subgrantees that demonstrate the ability to effectively utilize Recovery Act funding during the initial program year. Any unused training and technical assistance funds will also be added to

this pool. Subgrantees will be given production targets in their contract with DHCR. Those that meet or exceed these production targets will have access to the incentive pool. Pool funds will be allocated according to formula to those subgrantees that meet the production targets. Additional consideration may be given to subgrantee capacity so that no subgrantee is provided with funding in excess of the amount that DHCR reasonably expects the subgrantee to be able to utilize.

Criteria for Funding: Existing Subgrantees, New Subgrantees

Existing subgrantees will receive funding each year unless the subgrantee withdraws, or DHCR monitoring of the subgrantee indicates serious, irresolvable problems. DHCR program and fiscal monitoring examines the overall compliance of subgrantees with regard to expenditure of grant funds, production, work quality, and compliance with federal and State laws, regulations, policies, and procedures. When serious concerns arise, a determination is made on the subgrantee's ability to continue providing weatherization services. For more detail on monitoring, see Section 5.

DHCR has determined that additional subgrantee capacity is needed to adequately serve Orange County. DHCR will conduct additional outreach and public notice in Orange County to identify a new provider, and will solicit input at the public hearings (see Section 3.1, below), to ensure adequate service to the County.

Selection of a new subgrantee is based on a proposal submitted to DHCR, which is evaluated by program and fiscal staffs as well as testimony offered at a public hearing in accordance with 10 CFR Part 440.15(d). In accordance with these minimum guidelines a potential new subgrantee must:

- be a not-for-profit, legally incorporated organization, or a unit of local government, or the designated representative of an Indian tribal organization.
- if a not-for-profit organization, meet the charities registration requirements of the State of New York.
- be in legal and financial compliance with requirements and regulations established under State and federal law.
- provide a list of the current board of directors or governing body, by-laws and other documents concerning the structure and operation of the organization.
- provide proof that the organization has been responsive to the needs of the community by citing the programs and services in the energy or human services area that it has implemented; or, be able to demonstrate that the organization has the potential to provide such services in an efficient and responsible manner.

- demonstrate special expertise for providing energy conservation programs including management capability, technical skills, outreach capabilities, etc.
- show experience in housing and construction management oriented programs.
- submit a detailed budget and narrative work plan showing how the project will be carried out. The budget should list all personnel, including volunteer and paid staff, who will be associated with the program. The work plan will detail how the project will be implemented. Potential weatherization subgrantees must also show a production and expenditure plan, specifying whether subgrantee crews, subcontractor or a combination of the two will be used. New subgrantees will be expected to meet or exceed the work plan goals they propose.
- document that the current service area is not being served, is being under served, or is being served inadequately by an existing subgrantee. Documentation must include an explanation of how the prospective new subgrantee would correct the problem(s) identified and documented.

In accordance with 10 CFR Part 440.15, the State is required to give preference to existing subgrantees that are currently administering an effective program.

Temporary Subgrantees

DHCR also proposes to retain flexibility to add or change subgrantees, if necessary, to meet Recovery Act goals. Selection of additional subgrantees will be in compliance with the requirements outlined in Section 440.14 of the Weatherization rule. Specifically, DHCR may add temporary subgrantees to provide overflow capacity and assist targeted building portfolios, or to provide additional capacity in a specific geographic region. Temporary subgrantees will be solicited through a competitive selection process, and will be chosen to work on targeted building portfolios or geographic areas. Candidates will be selected based upon their qualifications, ability to manage all responsibilities of a subgrantee, and their ability to leverage other resources. These subgrantees will participate in the Program only through the expenditure of the ARRA funds. Temporary subgrantees will be provided with all necessary training, as detailed in the Training Activities section of this Plan.

Section 2.2 Dwelling Unit Information

DHCR expects to weatherize 45,000 dwelling units Recovery Act funds. This number of units is based on the estimate of units to be completed by each subgrantee at an average cost per unit (CPU) of \$6,500 (although it is estimated that multi-family units will typically have a lower average CPU). On average, units assisted by the Program will receive no more than \$6,500 in DOE funds This approach will ensure that New York is in compliance with 10 CFR Part 440.18 for the expenditure of DOE funds.

Repair work will include the following measures: water heater repair/replacement, roof repair/replacement (when necessary to protect insulation that has previously been installed or

is proposed as part of the work scope for the unit), minor incidental repair measures to the heated envelope, chimney liners or repairs, lighting fixture replacement, venting systems, heating distribution system repair/replacement, installation of ground fault interrupt circuit outlets, electrical service upgrade, and replacement of unsafe heating systems encountered in the course of performing weatherization (however, emergency heating system replacement during the heating season is the responsibility of the State Office of Temporary and Disability Assistance, except in response to a natural disaster).

New York will continue to include shelters and group homes on a square-footage or per-story basis. In the case of eligible dwelling units which meet the definition of "shelter," dwelling units will be calculated based upon either (a) each 800 square feet of floor space; or, (b) each story of the building which is used as a living area.

Section 2.3 Sources of Labor and Funding

New York contracts with subgrantees to deliver the program services at the local level. These subgrantees have various systems in place to provide weatherization in their service areas. All subgrantees use in-house staff for some components of the program such as outreach, energy auditing, air sealing, or pre- and post-inspection. Many subgrantees use local subcontractors to perform some of the basic weatherization work, such as attic insulation, sidewall insulation, and window installation. Most subgrantees use subcontractors for heating system work, however, several subgrantees use in-house staff for heating system work. New York has encouraged subgrantees to develop the capacity to perform heating system repairs with subgrantee staff, to assure quality heating system work and to reduce costs. DHCR provides training on heating system work as part of the Program's technical assistance efforts. See Section 5 for more detail. Subgrantees may use volunteers to supplement weatherization activities. However, due to the technical nature of the program, the use of volunteers is generally restricted to non-technical areas.

Subgrantee Support

DHCR will continue to work closely with the subgrantee network to expand the capacity of the network and assure that work can be completed within the designated time schedule. Individual subgrantee plans for increasing capacity have been requested and will be reviewed by DHCR regional office staff. These plans will identify the increased number of workers and contractors required to effectively utilize Recovery Act funds in the time required and how these workers and contractors will be identified and recruited. The plans will also identify how training of the current and expanded workforce (employees and contractors) will be conducted. DHCR has undertaken an extensive outreach effort and is coordinating workforce development and training with several other state agencies, as described above. The technical service subgrantees (AEA and NYSWDA) and the Policy Advisory Council have also been consulted on subgrantee capacity and have suggested additional strategies to assist them. DHCR has also conducted a series of regional meetings that were attended by the executive staff of each current subgrantee to assess capacity and subgrantee needs related to implementation of Recovery Act funds. These efforts and ongoing actions will provide the necessary support for subgrantees.

SECTION 3 - PROGRAM IMPLEMENTATION

Section 3.1 Public Hearings on the State Plan

Recovery Act Public Hearing: Pursuant to 10 CFR Part 440.14 (1), New York is required to hold a public hearing to receive comments on the proposed State Plan. A public hearing on the Recovery Act Plan was held on Wednesday, April 15, 2009. The hearing was conducted by video conference with live feeds in Albany, Buffalo, Syracuse and New York City. A copy of the hearing notice is available at <http://www.nysdhcr.gov>.

Copies of the proposed Recovery Act Plan were emailed to all current subgrantees and to other interested parties, and made available for inspection at the hearing locations and directly from the Division of Housing and Community Renewal, Office of Community Development, 38-40 State St. Albany, New York 12207. The plan was also available on the DHCR web site at <http://www.nysdhcr.gov>. Comments on the plan were accepted through April 29, 2009.

Section 3.2 Weatherization Contracts

For Recovery Act funds, DHCR will issue separate contracts to subgrantees to provide weatherization services. Contracts will be divided into defined budget periods, referred to in the contract as “program years,” and will include requirements for annual production, expenditure, closeout, and reporting. The Recovery Act contracts will extend from July 1, 2009 through September 30, 2011. The approximate number of units to be weatherized is based on an average cost per unit of \$6,500.

The approximate number of units to be completed by subgrantees during Program Year 2009 was estimated using the following formula:

$$\frac{\text{total allocation} \times .905}{\text{maximum cost per unit}} = \text{approximate number of units}$$

Statewide, an average of 9.5 percent of each subgrantee's allocation is reserved for administrative expenses, training and technical assistance, audits and liability insurance, leaving 90.5 percent available for actual weatherization work. For example, if a subgrantee is allocated \$975,000 and the maximum average cost per unit is \$6,500, the approximate number of units the subgrantee should be expected to complete in the program year will be:

$$\frac{\$975,000 \times .905}{\$6,500 \text{ per unit}} = 136 \text{ units}$$

New York will continue to provide administrative funding to subgrantees. The administrative rate for subgrantees will be 5.00% of the ARRA allocation, plus \$50,000 for each subgrantee that has a total allocation of less than \$2,500,000, and \$25,000 for each subgrantee that has a total allocation of \$2,500,000 or more but less than \$5,000,000..

New York will provide DOE training and technical assistance funds to subgrantees through the ARRA contracts and, through separate agreements, to the Association for Energy Affordability and the New York State Weatherization Director's Association. New York may also issue a request for proposals for additional training and technical assistance during the program year. Subgrantees will also be allowed to use a portion of any program income earned locally for training and technical assistance, expanding capabilities for e-mail and internet services, the purchase of state-of-the-art diagnostic tools and equipment, and participation in workshops and conferences.

Section 3.3 Subgrantee Payment Process

Contracts will provide an advance payment of 25 percent of the program year allocation, to assist in program start-up costs. Each subgrantee will thereafter request payment monthly by way of a payment request which shows current production and expenditure status. All contracts and payments are processed through the weatherization central database. All subgrantees are provided with a runtime version of this database for use at the local level. All data regarding application, energy audits, work on buildings and costs are entered locally and transmitted electronically to DHCR. Once received at DHCR, an analysis of expenditures and production determines the level of reimbursement for each payment request. DHCR program field staff subsequently verifies the information submitted to DHCR at the subgrantee location for completeness and accuracy.

DHCR fiscal field staff reviews actual source documentation and subgrantee fiscal books on a periodic basis. Not only does this assure a tighter fiscal review procedure, but it also makes the fiscal field representative available for necessary technical assistance to subgrantees. Final allowable costs for the contracts will be determined by an independent audit subject to review and approval by New York.

Section 3.4 Cost Per Unit

The Statewide average per unit cost for the Recovery Act contracts 2009 will be \$6,500. The actual cost per unit is negotiated individually with each subgrantee and reflects the nature of each program and the area in which service is provided.

Section 3.5 Administrative Operations and Structure

The New York Program is managed by the New York State Division of Housing and Community Renewal's Office of Community Development. Administration of the program, including policy development; planning; reporting; training; technical assistance; and coordination with regional offices, is the responsibility of the Director of Energy and Rehabilitation Services, under the supervision of the Assistant Commissioner for Local Programs.

DHCR has its central office in Albany, and field operations divided into four regions with offices in Albany, Buffalo, New York City, and Syracuse. Staff in all offices performs

monitoring functions. Fiscal, contract administration, policy, planning, reporting and technical assistance functions are administered from the central office.

The Director of Energy and Rehabilitation Services has general responsibility for the Program and is the primary liaison with DOE and with other funding partners. The Director normally represents DHCR at Policy Advisory Committee meetings and other similar forums. The Assistant Director represents DHCR in the absence of the Director, and is the liaison to DHCR regional office operations and to subgrantees. The Assistant Director also supervises the contract, reporting, and technical assistance staff. DHCR field representatives monitor subgrantees in the four regions. Each field representative receives program direction from a regional supervisor, who reports to a DHCR regional director. The DHCR regional directors and the Assistant Commissioner for Local Programs each report directly to the Deputy Commissioner for Community Development.

The Training and Technical Assistance Unit is located in the Albany office and is responsible for the preparation and delivery of training and technical assistance to DHCR staff and subgrantees, and for management of contracts with external training and technical assistance providers. Fiscal monitoring and assistance with payment and contract processing is conducted by the Weatherization Fiscal Unit, which has fiscal representatives assigned to each regional office. Fiscal field representatives visit subgrantees on a regular basis to monitor fiscal compliance and provide technical assistance in the areas of accounting, audits, and related activities.

Section 3.6 Special Initiatives

Green Workforce Development

New York has been actively supporting the development of a green workforce to meet the challenges posed by climate change, constraints on energy supply, high energy prices, and expansion of the energy efficiency and alternative energy industries. Governor Paterson has convened a multi-agency working group to explore methods to implement this initiative. DHCR is involved in this effort, and will work with the NYS Department of Labor, OTDA and other partners to provide support for subgrantee “ramp-up” and to utilize the Program to provide job opportunities to workers dislocated by the current economic situation.

The increasing technical requirements of the Weatherization Program require a consistent standard for subgrantee staff qualifications, to ensure a minimum level of competence in program operations. In Program Year 2008 DHCR began to implement certification requirements, such as Building Performance Institute certification, for weatherization staff performing energy audits and installing conservation measures. DHCR will examine a variety of approaches to implement this initiative and will continue to phase in new requirements over time, to allow existing staff adequate opportunity to obtain required training and skills.

Use of Renewable Energy Sources

One of the goals of the weatherization program is to decrease reliance on imported oil. The Energy Policy Act of 2005 provides a mechanism for introducing the use of renewable energy sources as an alternative to heating systems and base load measures that rely on carbon-based fuels. DHCR will actively encourage demonstration projects intended to show the viability of renewables as a weatherization measure.

Section 3.7 Other Projects

Coordination with New York State HOME Program

New York State strongly encourages subgrantees to coordinate weatherization activity with local groups receiving housing funds in their community. DHCR has now fully integrated energy conservation practices into its housing programs. Housing rehabilitation program subrecipients are required to conduct energy audits, and Program subgrantees have been encouraged to work closely with local housing agencies to provide technical support and to explore housing programs as a source of leverage. In return, additional funding is made available for repairs on housing assisted by Program subgrantees. In recent years a series of training sessions was held to bring HOME Program administrators and Weatherization subgrantees together to learn strategies for coordination and work to resolve obstacles. Additional coordination may occur during Program Year 2009 from the implementation of DHCR's Green Building and Energy Conservation initiatives in connection with development of affordable multi-family housing.

Bulk Purchasing of Weatherization Materials

New York contracts with the New York State Weatherization Directors Association (NYSWDA) and the Association for Energy Affordability (AEA) for centralized procurement of weatherization materials. NYSWDA runs a statewide procurement process for commonly used materials that include: cellulose insulation, low-flow shower heads and aerators, residential furnaces, and mobile home furnaces. AEA administers a similar purchasing program to procure lighting fixtures, tools, equipment, and refrigerators. All products are warranted for a minimum period. This procurement process will continue through the 2009 program year, and will be reviewed to ensure that materials with an Energy Star rating, or equivalent, will be purchased whenever possible.

Systems Benefit Charge Programs

The New York State Public Service Commission instituted a System Benefits Charge (SBC) fund in 1998, to mitigate the effects of electric utility restructuring, and designated NYSERDA as the fund administrator. The intent of the SBC is to support programs that will improve the State's energy efficiency, reduce the energy burden of low-income households, and support research and development in energy efficiency, renewable energy and environmental protection. In December, 2005, the Public Service Commission extended the

SBC order through June, 2009, and in June, 2008, issued an order creating an energy efficiency portfolio, which will provide additional system benefit charge resources to NYSERDA and to utilities for low-income programs.

Several of NYSERDA's programs are typically coordinated with the Weatherization Program, to deliver enhanced benefits to low-income households. The Multifamily Performance Program arranges and guarantees financing for energy conservation measures in publicly-assisted multifamily projects. The Empower Program focuses on cost effective electric reduction measures including lighting, refrigerator replacement, and other energy efficiency measures. Each of these programs provides additional energy conservation services to low-income households.

Coordination with OTDA

The New York State OTDA administers the federal HEAP program. As part of an initiative begun by OTDA this year, DHCR has implemented a requirement that subgrantees target assistance to HEAP recipients that have been identified as having high need for conservation assistance, and has also agreed on a process for providing emergency furnace replacement in areas declared State or Federal disaster areas. While no targets will be set for Recovery Act funds, these efforts will help further coordination, both at the State level and between Weatherization subgrantees and local social services offices.

Section 3.8 Leveraging

Subgrantees provide a variety of services for low-income clients as a part of their overall mission. As a result, they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. DOE defines leveraging as "the obtaining of additional program-targeted non-federal cash or in-kind contributions as a result of the Weatherization Program-funded activities." The term packaging refers to the combining of two or more sources of funds in a weatherized dwelling unit to expand the scope of services to a low-income client.

The Program works with other agencies to improve benefits to low-income clients through coordination of other funds and programs where possible. The following initiatives are ongoing:

- New York's rental policy is expected to generate more than \$33.5 million in owner investments during 2009.
- Subgrantees are encouraged to access other federal and State housing funds that can be used along with Program funds to provide comprehensive weatherization services, and additional repair and rehabilitation work.

- An expected outcome of the Targeting Multi-family Building set-aside is that temporary subgrantees will provide substantial additional resources to meet other energy and repair needs in assisted buildings, improving our ability to assist the whole building.
- An interagency referral program has been established in conjunction with the New York State Office of Temporary and Disability Assistance, the State Office for the Aging, and local departments of social services and offices for aging. These agencies will be encouraged to continue to refer clients to the Program for priority service. This program reduces subgrantee overhead since some of the referred clients are considered categorically eligible, since they have already been determined eligible for other programs such as HEAP.
- A number of subgrantees participating in the State's program have entered into agreements with local departments of social service to conduct emergency furnace replacement. When done as coordinated work, these leveraged funds received by local subgrantees for providing this service expand the scope of services to low-income households and provide for the reimbursement of labor and program support costs to supplement regular Program activities.
- DHCR promotes packaging of weatherization with other funding sources such as utilities, the American Red Cross, local departments of social service and offices for aging, and federal Community Services Block Grants and Community Development Block Grants. These sources represent only some of the funding that has been used in conjunction with the Program to provide more complete energy-related services to low-income clients.

SECTION 4 - HEALTH AND SAFETY PLAN

The primary goal of the Weatherization Assistance Program is energy conservation. However, installing energy conservation measures sometimes requires us to address certain health and safety problems that may exist in client's homes. If not done properly, those same measures can also create or worsen other health and safety conditions. Many of the buildings that are weatherized have serious deficiencies that can affect the health and safety of both residents and staff performing weatherization work. DHCR weatherization protocols incorporate steps to review areas that affect health and safety as well as to take appropriate action during the course of weatherization where it is allowable and practical to do so.

Section 4.1 Grantee Health and Safety

DHCR ensures that State and subgrantee employees work under safe conditions. No specific expenditures on grantee health and safety are anticipated at this time.

Section 4.2 Crew and Contractor Health and Safety

Subgrantees are required to comply with all Occupational Safety and Health Administration (OSHA) requirements at all times. Crew and contractor safety issues are integrated into DHCR training and technical assistance curricula. During the past year we offered specific training to subgrantees on OSHA requirements and DHCR expects this to continue through the coming year. Also, subgrantees are required to ensure that crew and contractors follow safe work practices with regard to lead paint hazards (see below).

Section 4.3 Client Health and Safety

DHCR takes all reasonable precautions against performing work on homes that will subject workers or clients to health and safety risks. Subgrantees are required to consider the health concerns of each occupant prior to initiating work on a residence. A client questionnaire is used to identify existing client health and safety problems.

In the course of performing an energy audit, the energy auditor is required to meet with a member of the household and complete the questionnaire. This questionnaire provides the auditor with information about the dwelling unit, the lifestyle of its occupants, and it can direct the auditor to areas where energy can be conserved. In addition, there are pertinent questions about previous health problems and occupancy practices that can lead the auditor to identify health and safety concerns. Once identified, these areas can be dealt with through various means ranging from client education, to corrective action through the weatherization work scope.

The auditor is also required to complete a visual health and safety inspection. Where serious concerns are found that cannot be addressed through weatherization, clients are advised of these possible hazards in writing in order that they may make informed decisions regarding their safety. Where necessary, clients will be advised to relocate from the unit during installation of energy conservation materials, to ensure the household's safety.

Potential Hazard Considerations

The following potential hazards are considered prior to providing weatherization assistance to a client:

1. **BIOLOGICALS** - Information on biological hazards is obtained through the client questionnaire and by means of the visual inspection of the unit. Certain hazards, like mold and mildew are sometimes identified, and clients are notified by means of a form developed for this purpose. If other hazards are present, or hazards cannot be mitigated in the course of routine weatherization, additional funding will be sought by the subgrantee from other sources to address the hazard. DHCR ensures that proper training and technical assistance on biological hazards is provided to subgrantees.

DHCR conducts regular training to educate state staff and subgrantees on moisture and mold issues. These trainings are intended to help subgrantees identify symptoms that may cause problems or exacerbate mold problems as a result of weatherization, and to evaluate potential work scopes from the perspective of analyzing the house as a system. Instruction is focused on improving diagnostic knowledge before weatherization, to identify and mitigate moisture problems, assess mold related problems, and to assure that the safest and most responsible work scopes are performed to protect clients' health and safety within the DOE Regulations.

2. **COMBUSTION APPLIANCES AND COMBUSTION GASES** - The following tests are required in the course of performing the energy audit, weatherization work, and post inspection of each building and are designed to find health and safety problems and to insure that weatherization work does not exacerbate any of these concerns. Subgrantees are also required to conduct periodic inspections of all analytical equipment to assure accuracy and appropriate calibrations as specified by the manufacturer.

Heating System Testing

Steady-State Efficiency Testing - A Steady-State Efficiency test is required on every heating system. During the course of this testing, areas such as unsafe heating systems, carbon monoxide presence, incomplete combustion, and fuel leaks are likely to be detected before any further weatherization work occurs. The results of this test must be recorded and affixed to the heating appliance.

Draft Testing - An integral part of the Steady-State Efficiency testing is a draft test. This test is required on all combustion appliances to insure that they are not spilling combustion gases into the structure. Subgrantees are required to perform a final draft test upon completion of all work on a building in order to insure that the reduction of air flow in the building has not created a condition where combustible gases are spilling into the building after weatherization.

Ambient Air Testing

The auditor is required to test the ambient air in the area where a combustion appliance is located. These tests are conducted pre and post weatherization work in order to detect and

correct significant levels of toxic or combustible gases in the ambient air. Auditors are required to complete an air quality checklist for every building weatherized.

Blower-door Testing

All one-to-four unit buildings and mobile homes must be blower-door tested before, during, and after performing air-sealing work on a building. Subgrantees are required to calculate maximum air sealing goals prior to commencing with work and to show that the building has not been tightened beyond safe limits.

Additionally, all subgrantees are required to install smoke and carbon monoxide detectors in appropriate areas of dwelling units where none exist.

3. **FIRE HAZARDS** - Potential fire hazards are identified during the visual inspection. The presence of smoke detectors is noted. Obvious hazards must be corrected before work can proceed. As a direct result of work that is performed in the course of weatherization such as the reduction of air flow, sealing of thermal bypasses, and installation of insulation, weatherization services reduce the probability of fire spread in a building.

4. **EXISTING OCCUPANT HEALTH PROBLEMS** - Information on existing occupant health problems is collected on the client questionnaire. Strategies for dealing with client health issues are covered in DHCR-sponsored technical assistance seminars, and in the course of providing routine technical assistance to subgrantees. Generally, air sealing and certain other measures that could "over-tighten" a unit are discouraged where clients report chronic respiratory or other conditions that could be aggravated by certain measures.

5. **INDOOR AIR QUALITY** - The presumed presence of asbestos is determined during the visual inspection of the unit. Subgrantees are generally advised to avoid disturbing asbestos that is not friable, and to not install measures where asbestos is present, or suspend work until it is safe to proceed. In multi-family buildings, owners must show evidence of proper asbestos removal prior to commencement of weatherization work.

Radon is known to exist only in limited parts of New York State. When a building has been identified as having a radon problem, precautions are taken by the subgrantee to ensure the safety of the crews and clients while the weatherization work is completed. In general, weatherization measures have been found to prevent radon from infiltrating into assisted units.

When Formaldehyde or Volatile Organic Compounds (VOCs) are suspected in a unit, subgrantees are trained to adjust air tightness limits to reduce health & safety risks.

6. **LEAD PAINT** - Lead based paint hazard control is an important service provided to maintain the health and safety of weatherization clients. Since the vast majority of dwelling units that subgrantees encounter were built prior to 1978, lead-based paint is an area of major concern from the standpoint of client and worker safety. DHCR has adopted, and follows, the specified EPA and Occupational Safety and Health Administration (OSHA) standards for worker safety as well as any state or local requirements.

All subgrantees are required to have an Environmental Protection Agency (EPA)-Certified Lead Abatement Supervisor on staff. DHCR provides training for lead abatement supervisors for weatherization subgrantees. Each subgrantee is required to send representative staff to each of these training sessions, and a Lead Safe Weatherization (LSW) practices booklet (developed for New York by ATC Associates, an EPA-certified lead trainer) is supplied to each attendee.

DHCR will consider discontinuing the requirement that subgrantees have a certified abatement supervisor in 2009, based on the guidance provided in WPN 08-06. Until this decision is made, DHCR will continue to provide subgrantees with lead abatement supervisor training. This training will be conducted by a contractor who is certified by EPA to provide Lead Abatement Supervisor's Training. All subgrantees will have the opportunity to send staff to this training. Staff attending the training will then have the opportunity to become certified to supervise workers in performing weatherization-related work in a lead-safe manner.

The Weatherization Activities and Federal Lead-based Paint rule (WPN 02-6), requires states to provide subgrantees with Lead Safe Worker Training. DHCR will also ensure that subgrantees have the opportunity to send staff to this training, where they will receive the Lead Safe Weatherization Practices Booklet. In 2009, DHCR will review its LSW training and upgrade as necessary to comply with WPN 08-06. DHCR will also assess its subgrantees' level of training and make further training recommendations as needed. All new employees will be given the latest version of LSW training.

Subgrantees are required to provide each assisted household with a copy of EPA's new publication "Renovate Right: Important Hazard Information for Families, Child Care Providers and Schools."

In response to New York City Local Law I of 2004, subgrantees working in New York City must inform owners of rental housing that, in accordance with the law, if weatherization measures are installed in a multiple dwelling containing three or more apartments built before 1960 in which a child under age seven resides and which has not been certified as lead-free, then it is presumed that the paint in the unit is lead-based paint, and the owner must obtain a clearance test upon completion of work to demonstrate that the work area is lead safe. Owners must also obtain clearance tests when work is done in vacant apartments in buildings containing less than three dwelling units where the dwelling unit is to be occupied by persons other than the owner or the owner's family. Lead clearance tests must be obtained and kept on file at the subgrantee for inspection by DHCR. The cost of any additional work needed to obtain a clearance test is the owner's responsibility.

In 2009, DHCR will monitor subgrantees to ensure that all LSW was properly implemented and documented. Subgrantees are required to complete a final inspection on all units that are submitted as completed.

In 2009, as it becomes available from EPA, New York will begin training and certifying Renovators using an EPA-accredited training facility, in accordance with recent DOE guidance.

Once a subgrantee has certified renovators on staff, they will be required on all work sites, as required by EPA.

The certified renovator will verify the job site was “secure.” Documentation to support this finding will be placed in the client files, attesting that all LSW standards were properly followed and the containment area was set up properly and was not compromised during work. The results of the cleaning verification that will be required beginning April, 2010, will also be documented in the client file. Beginning in 2010, EPA requires that weatherization work be performed by Certified Renovation firms. In 2009 New York will take steps to ensure that all necessary actions are taken so that this requirement can be complied with when it takes effect.

7. **BUILDING STRUCTURE** - Incidental repairs will be performed as needed. Allowable repairs are listed in Section 2.2 of the State Plan. DHCR administers several housing rehabilitation programs, and provides extensive technical assistance and training in these areas. Where possible, this work will be funded by HEAP or through coordinated efforts.

In cases where extensive repairs are needed before weatherization assistance can be provided, work will be delayed until repairs are made (see Deferral Standards, below).

8. **ELECTRICAL ISSUES** - DHCR requires subgrantees to ensure that work is performed in accordance with state and local codes, and monitors compliance with this requirement during on-site inspections. The visual inspection of the unit includes an analysis of electrical hazards, and subgrantees must ensure that all electrical hazards that exist in areas where weatherization work is being done are corrected prior to commencement of work.

9. **REFRIGERANTS** - DHCR requires that all refrigerators and air conditioners that are replaced are demanufactured and disposed of in accordance with applicable requirements.

10. **OTHER CODE COMPLIANCE** - New York State has enacted a building code based on the 2000 ICC International code. DHCR requires subgrantees to ensure that work is performed in accordance with state and local codes, and monitors compliance with this requirement during on-site inspections. However, the role of State staff and of subgrantees is oversight; code compliance is the responsibility of local officials. The visual inspection of the unit includes an analysis of potential code violations in areas where work is being done, and subgrantees must obtain building permits for work performed, when required by state or local codes, prior to commencement of work.

Deferral Standards

DHCR’s deferral standards are included in the Policy and Procedures Manual. A copy of the manual has been provided separately to DOE, and is included as an exhibit to each subgrantee contract. It is also on our web site at www.nysdhcr.gov.

DHCR has also adopted stricter deferral standards for units with lead hazards present, in response to concerns about risks associated with lead hazards. If lead hazards are present or suspected in a unit, the subgrantee must either identify other funding to address the hazards,

and obtain a clearance test to show that the hazards have been mitigated, or defer work on the unit until the lead hazard has been addressed.

Section 4.4 Other Health and Safety Considerations

The mission of the Weatherization Assistance Program, after providing energy conservation services, is to ensure the health and safety of our clients, particularly the elderly, people with disabilities, and children. Measures which promote health and safety will be included in work scopes whenever possible. New York will continue to allow subgrantees to use weatherization funds to replace unsafe heating systems and domestic hot water tanks that are encountered in the course of providing weatherization services, however, these funds may not be used to provide emergency services except for emergency furnace replacement in areas declared State or Federal disaster areas.

An owner's investment is required for weatherization work on rental units. During the course of negotiating with the owner, many subgrantees encourage/require owners to correct health, safety, and code violations on behalf of low-income tenants before weatherization work can proceed.

Most subgrantees have established local networks that include organizations with access to other sources of funds to provide clients with assistance in areas such as structural repair, health care, child care, tenant advocacy, etc. Subgrantees utilize these resources on behalf of the client and leverage additional funds for services that are health and safety related.

COOLING MEASURES

In past years, the US Department of Health and Human Services has released funds through its Home Energy Assistance Program to combat the effects of high heat on low income clients. The New York State Weatherization Assistance Program has been the delivery mechanism for this cooling program and has found it to be extremely effective.

DHCR administers a health and safety cooling component. If, through the use of the Client Questionnaire, and corroborated by a doctors written statement, a client is determined to be at risk of illness due to possible high heat conditions, an Air Conditioner may be supplied to the client as a regular weatherization measure. Health and Safety funds will be used to complete this measure. During the summer months, additional outreach may be conducted, and, where determined to be medically necessary, additional cooling measures installed. See section 1.3, above, for more information on cooling measures.

SECTION 5 - MONITORING, TRAINING AND TECHNICAL ASSISTANCE

New York combines rigorous field monitoring with an extensive training and technical assistance program to identify areas to improve work quality and delivery of program services and to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

Monitoring consists of visits to subgrantee offices and assisted units, and desk audits, where subgrantee performance reports and other information is reviewed. Regional supervisors and staff are required to closely monitor compliance with Program policies and procedures. Fiscal staff performs periodic monitoring, including reviews of financial statements, to assure compliance with all financial rules. Field staff is required to provide subgrantees with status reports throughout the year. These reports are valuable in early identification of subgrantee problems.

The monitoring process consists of monthly reporting by subgrantees, on-site visits by program and fiscal staff, and an annual evaluation of each subgrantee that reviews compliance with all program rules, energy audit procedures, crew operations, client interaction, and data collection and reporting. When problems are discovered, a corrective action plan is developed for areas needing improvement and the subgrantee is formally notified in writing of actions to be taken. The subgrantee then has the option of either accepting the decision or requesting an administrative review.

Section 5.1 - Program Monitoring

Staff Organization

Field staff are expected to maintain a high level of program knowledge to enable them to function independently in the field. Regional supervisors supervise and provide assistance to field staff as needed. In addition to the field staff involved in subgrantee monitoring, training staff, who report to the supervisor of the Training and Technical Assistance Unit, provide training programs to staff and subgrantees as needed.

Field staff report to regional supervisors located in Albany, New York City, Buffalo, and Syracuse, who in turn, report to regional directors. Field staff is assigned to specific regions to avoid excess travel as they visit subgrantees. Field staff is required to spend one day a week in their regional office dealing with administrative requirements such as reports, correspondence, and required forms to document their field activity.

Program Staff Field Visits

Program staff visits subgrantees to certify that units reported to DHCR have been completed in accordance with all program requirements. Because subgrantee payments are

related to the certification level, ongoing certification reduces delays in the processing of payment requests.

Program staff visits subgrantees every eight weeks, on average. Where indicated by prior subgrantee performance, the frequency of visits may be increased. Subgrantees that have a history of outstanding performance may be subject to less frequent site visits. While some field visits may be completed in one day, the average field visit takes three days. Regional supervisors will accompany field staff on subgrantee visits as needed to assure quality control.

The field visit is an integral part of monitoring of the weatherization program. Regular contact with a subgrantee allows the field staff to gain an in-depth understanding of the subgrantee's program: its strengths, problem areas, cash flow situation, and the local community it serves.

Field staff will conduct on-site inspections on a minimum of 10% of the dwelling units that are presented for certification during the program year. Where indicated by prior subgrantee performance, this percentage of inspections may be increased. The field staff will verify the installation of materials that are charged to the job and look for areas that have been omitted in the pre-inspection. Where discrepancies are found a higher percentage of on-site inspections may be conducted to assure compliance with the Program contract.

Each program field visit is documented with a Field Visit Report in the Weatherization Data Collection and Reporting Database, and is the basis for statistical data used in program management. The Field Report documents each visit and covers the scope of activities and issues that are monitored during the course of the program year as follows:

- verification that all components of the program required for proper implementation and provision of services are in order, and that the program is sized and staffed correctly;
- verification that the subgrantee has competent management staff in place;
- verification that outreach to all potential client groups is being properly conducted in all areas of the subgrantee service territory;
- verification that selection of clients for weatherization is made in accordance with subgrantee written policies and latest census data, renters/owners, and DHCR/OTDA client priorities for services;
- verification that the correct energy audits are being performed, and that the recommended work scopes relate to information identified in the audit;
- verification that the recommended investment level reflects the potential to save energy, and is reasonable and related to the energy audit findings;
- verification that the subgrantee is identifying health and safety issues and taking proper actions to correct them, notifying clients and owners accordingly, and addressing these issues in a reasonable and responsible manner;
- verification that all work is being performed in a workman like manner in accordance with federal program regulations, the DHCR state plan, the program manual, and the DHCR contract; and,

- verification that all dwelling units are being inspected prior to submission to DHCR for payment, and that all materials have been properly installed as presented, and meet the standards of 10 CFR Part 440 Appendix A.

DHCR is committed to ensuring successful implementation of Recovery Act funding and fully supports the goals of the ARRA. Accordingly, the agency plans to add program monitoring and support staff in the regional offices. Also, central office staff will be added to the training and technical assistance, reporting, audit and support units. Lastly, staff will be added and assigned responsibility for compliance with prevailing wage requirements and other additional responsibilities associated with the Recovery Act. Also, as mentioned previously, DHCR may use contractual services to supplement training and monitoring.

Section 5.2 - Fiscal Monitoring

Internal Control

The fiscal field staff reviews the subgrantee's internal controls to ensure Weatherization policies and procedures are followed, subgrantee's established fiscal standards are reasonable and in compliance, Weatherization resources are efficiently and effectively utilized, and Weatherization objectives and goals are being achieved.

These reviews are conducted on grant funds as well as leveraged funds and program income. Additionally, the fiscal field staff provides training and technical assistance with a view toward improving subgrantee fiscal responsibility and accountability and contributing to the ongoing review of a subgrantee's internal control procedures. A comprehensive fiscal evaluation of each subgrantee is prepared annually by the assigned fiscal field staff and reviewed by the supervisory staff. This evaluation forms the basis for the development of a work program to address subgrantee fiscal deficiencies and to form recommendations on the fiscal status of subgrantees.

Field Visits

During each field visit, the fiscal field representative examines each payment request that the subgrantee has submitted since the last visit, to ensure consistency and accuracy. A sample of these payments is tested and verified by tracing items through source documents to paid checks. At the conclusion of the field review, fiscal field staff discusses the results of the review with the subgrantee's executive director or duly approved representative and prepares a written summary of the review outlining the scope of the review, any findings, corrective actions, recommendations, and subgrantee responses or comments.

The books and records for any program activities allocated to or charged back to Program funds are also subject to review by fiscal field staff. If the fiscal field staff notes a problem with allocations or charge backs, the fiscal field staff reports the findings. If training and technical assistance is warranted, it will be provided to the subgrantee. Subsequent visits by fiscal field staff will verify that the problem has been corrected or that additional actions are necessary.

At the conclusion of the annual budget period, the subgrantee prepares unaudited financial statements as a means for the fiscal field representative to review the weatherization fiscal activities of the subgrantee in whole. This review forms the basis for closure on the budget period until the subgrantee audit is received and accepted.

Section 5.3 Training and Technical Assistance

DHCR utilizes field staff, consultants and technical service subgrantees to provide training to subgrantees on an ongoing basis. DHCR also has staff who is specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees. Beginning in Program Year 2009, DHCR will also work with the NYS Department of Labor and other State agencies that are part of the Governor's Energy Working Group to identify additional training and job development services to support subgrantee "ramp-up" efforts, and to further New York's Green Workforce Development goals.

Subgrantee training needs are identified through the use of the annual subgrantee evaluation instrument which is conducted by DHCR field supervisors and staff at the end of each program year. This evaluation, along with the use of field reports and discussion with the PAC, the Subgrantee Task Force, technical support subgrantees and training and technical assistance staff, identifies general training needs across the state while also indicating training that might be unique to a specific subgrantee or area of the state. Additionally, as a result of on-going monitoring, program and fiscal field staff identify areas of deficiency that require remediation. In some cases, monitoring staff provide the remedial training, in cases where the nature of the training is very technical, it will be referred to the DHCR Training and Technical Assistance Unit for appropriate follow-up.

Training Structure

DHCR will provide, primarily through technical assistance subgrantees and consultants, the following technical assistance to provide sufficient capacity to implement Recovery Act funds:

Level I: Training of a basic nature covering all aspects of the program. Areas such as rules, regulations, policies, procedures, reports, data entry, and forms will be covered. This activity will be aimed at meeting and maintaining State and federal program, fiscal, and technical standards. Subgrantees are provided with training and technical assistance on policies and procedures through assigned field staff and through a team of field trainers. Formal policies and procedures training will be provided annually and then followed up with field training visits to individual subgrantees. New subgrantee staff will be provided with this training through a "weatherization boot camp" and other venues. The "weatherization boot camp" is a new training that is being developed by DHCR staff and its training partners to meet the immediate need of subgrantees and contractors to expand existing capacity in a relatively short period of time. The training will offer a full technical curriculum in an intensive, five-day period. The "boot camp" training will be followed by on-the-job training and workshops targeted to the needs of new staff.

Level II: Training of a specific nature on technical issues such as using the TIPS, TREAT, or EA-QUIP software, creating-cost effective job work scopes, infrared thermography, heating system diagnostics, performing post inspections, managing crews and subcontractors, materials installation, air sealing, and pressure diagnostics. The goal of this training is to introduce or significantly improve the knowledge and expertise needed to successfully operate local programs. Formal training on technical issues will be provided throughout the year, and then followed up with field training visits to individual subgrantees. This training may also be supplemented by workshops and other courses offered through the Center for Energy Efficiency and Building Science or through coordination with NYSERDA.

Level III: DHCR will use a portion of its T&TA funds to fund two technical support agencies and for consultant services. These entities will provide technical assistance through peer-to-peer training activities, air monitoring of lead safe practices, energy savings analysis, and other specialized training activities.

Level IV: DHCR will distribute a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conferences, staff training, weatherization equipment, membership and subscriptions, computer/electronic media, data gathering and client education materials.

Certification Requirements

DHCR is phasing in a requirement that certain subgrantee personnel be certified by the Building Performance Institute (BPI) in certain professional positions. Subgrantees have been advised to take steps during the 2009 program year to set aside resources and arrange for staff training so that staff will be prepared to meet all BPI certification requirements. Approximately 80% of subgrantee employees are currently certified through BPI.

The following certification requirements apply to subgrantees that weatherize 1-4 unit buildings:

- By April 1, 2010: Building auditors must be BPI certified as a Building Analyst Professional. Crew Chiefs must be BPI certified as Shell Professionals.
- By April 1, 2010: Subgrantees who complete more than three mobile/manufactured homes a year must have at least one BPI certified Manufactured Housing Professional on staff.
- By October 1, 2010: 1-4 Unit Building Energy Auditors must also have a Heating Professional Certification. This is a dual certification that will assure that the auditor understands basic building science and how to test and evaluate heating systems. Housing Professional Post Inspectors must be BPI certified as a Heating Professional and a Manufactured or Envelope Professional.

Subgrantee Training

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During these monitoring visits, staff may

observe areas where subgrantees need assistance. Where the staff member has the particular expertise required to provide assistance, such training will be incorporated into the visit. Staff may alternatively request the assistance of training and technical assistance staff, technical assistance subgrantees or consultant services.

A timely approach to training and technical assistance is important to the success of each subgrantee. Subgrantees experience a high level of staff attrition each year; new staff requires training in various aspects of the weatherization program. The majority of technical training takes place at subgrantee offices and in the field. Training in administrative and support functions is delivered from a centralized location.

Training is provided to subgrantees in the following areas:

- outreach and application procedures
- income documentation
- energy audit procedures
- record and file maintenance
- air sealing and pressure diagnostics
- insulation techniques
- health and safety
- OSHA requirements
- post inspection techniques
- reporting procedures
- heating system testing and diagnostics
- heating system repairs and replacement
- coordination with other programs
- new employee training
- new weatherization director training
- quality control
- fiscal record keeping and reporting
- special non-traditional approaches to specific dwelling units

The following training topics are generally presented in a classroom or group setting at one or more locations:

- Policies and Procedures Manual changes
- Updates on general DHCR program guidance and contract matters
- Program database and reporting requirements
- Updates on federal statutory and regulatory changes

New York has developed comprehensive written training curricula in several areas that have been used for the training of subgrantee staff on a regular basis. As the need arises for training in additional areas, curricula will be developed to insure a comprehensive and uniform approach to the subject matter.

During Program Year 2009, New York will direct a portion of the T&TA funds to provide subgrantees with training developed by subgrantee organizations and approved by DHCR.

New York will also provide subgrantees with Lead Abatement Supervisor training and Lead Safe Worker Training. This training will be conducted by a contractor who is certified by EPA to provide such training. All subgrantees will have the opportunity to send people to this training, such staff will then become certified to supervise workers in performing weatherization-related work in a lead-safe manner.

Staff Training

The major emphasis of DHCR staff training is to ensure uniform implementation of program policies and procedures. A portion of the T&TA funds is allocated to the salaries and fringe benefits of the field and training unit staffs. The remaining portion of the budget is allocated to travel, equipment, supplies and contractual services needed to provide training and technical assistance.

Any new staff hired to supervise ARRA activities will be provided with a specific program of training provided by DHCR training staff and by the Weatherization Training and Technical Assistance Unit. Staff will also be required to attend Weatherization “boot camp” and other training sessions offered by technical assistance providers, and any other training opportunities that are available.

In addition to periodic staff meetings, conferences, workshops and other venues will be used to maintain and improve staff expertise. New York State government also provides an extensive training program for staff, funded from general state operations, on a variety of staff development, general administrative, and specialized topics. Staff are required to attend appropriate training to maintain the skills and knowledge needed to ensure quality program operation.

APPENDIX A - Policy Advisory Council

Devito, Donna
NYS Department of Public Service

Brennan, Charles
Attorney-at-Law

Catalano, Joan
Northfield Community LDC

Cherry, Richard (Secretary)
Community Environmental Center, Inc.

Desmond, Sarah
Housing Conservation Coordinators

Eberhard, John (Chairperson)
Delaware Opportunities Inc.

Harlow, Denise
NYS Community Action Association

Purcell, Patricia
NYS Department of State

Hepinstall, David (Vice Chairperson)
Association for Energy Affordability, Inc.

Joseph, Anthony
NYS Department of Labor

Keraga, Kelvin
NYS Energy Research & Development
Authority

Kovarik, Tim
NYS Office for the Aging

Laczi, Dave
Urban Human Services Center

Laino, Jeffrey
New York City

Lowry, Barbara
Northern Manhattan Improvement Corp.

Morris, Phyllis
NYS Office of Temporary and Disability
Assistance

Ramos, Nelson
Sunset Park Redevelopment Corporation

Jones, Gregory
NYS Commission on Quality of Care and
Advocacy for Persons with Disabilities

Rice, Wendell
Bedford Stuyvesant Restoration Corp.

Sammons, Massimo
Cortland County CAP, Inc.

Seebachan, Barry
Bronx Shepherds Restoration Corporation

Stone, Andrew
NYS Weatherization Director's Association

Yehle, Ray
People's Equal Action and Community
Effort, Inc.

Zales, JoAnn
National Grid

Appendix B: Allocation Formula					
COUNTY	INCOME-ELIGIBLE HOUSEHOLDS		DEGREE DAYS *		FINAL PERCENTAGE
	COUNTY	% NYS	COUNTY	% NYS	
ALBANY	22,028	1.4210	7,148	1.0182	1.7709
ALLEGANY	4,892	0.3156	7,871	1.1212	0.4331
BRONX	184,439	11.8982	4,901	0.6981	10.1666
BROOME	18,295	1.1802	7,134	1.0162	1.4679
CATTARAUGUS	7,672	0.4949	7,419	1.0568	0.6402
CAYUGA	6,202	0.4001	7,041	1.0030	0.4911
CHAUTAUQUA	13,298	0.8579	6,539	0.9315	0.9780
CHEMUNG	7,617	0.4914	7,134	1.0162	0.6112
CHENANGO	4,812	0.3104	7,326	1.0436	0.3965
CLINTON	7,210	0.4651	7,831	1.1155	0.6350
COLUMBIA	4,129	0.2664	6,748	0.9613	0.3134
CORTLAND	4,625	0.2984	7,637	1.0879	0.3973
DELAWARE	4,575	0.2951	7,327	1.0437	0.3770
DUTCHESS	13,569	0.8753	6,647	0.9469	1.0144
ERIE	79,343	5.1184	7,137	1.0167	6.3688
ESSEX	3,360	0.2168	8,426	1.2003	0.3184
FRANKLIN	4,744	0.3060	8,818	1.2561	0.4705
FULTON	5,006	0.3229	7,831	1.1155	0.4409
GENESEE	3,562	0.2298	6,648	0.9470	0.2663
GREENE	4,055	0.2616	7,646	1.0892	0.3487
HAMILTON	522	0.0337	9,206	1.3114	0.0540
HERKIMER	6,554	0.4228	7,926	1.1291	0.5842
JEFFERSON	10,154	0.6550	7,635	1.0876	0.8719
KINGS	305,805	19.7275	4,902	0.6983	16.8599
LEWIS	2,498	0.1611	8,522	1.2140	0.2394
LIVINGSTON	3,905	0.2519	6,939	0.9885	0.3048
MADISON	4,697	0.3030	8,121	1.1568	0.4290
MONROE	50,870	3.2816	6,743	0.9605	3.8579
MONTGOMERY	4,930	0.3180	7,527	1.0722	0.4174
NASSAU	42,599	2.7481	5,488	0.7818	2.6294

NEW YORK	176,834	11.4076	4,900	0.6980	9.7454
NIAGARA	17,294	1.1156	6,748	0.9613	1.3125
ONEIDA	20,189	1.3024	7,634	1.0875	1.7334
ONONDAGA	36,665	2.3653	7,544	1.0746	3.1109
ONTARIO	5,533	0.3569	6,945	0.9893	0.4322
ORANGE	17,519	1.1302	6,079	0.8660	1.1978
ORLEANS	2,877	0.1856	6,546	0.9325	0.2118
OSWEGO	10,825	0.6983	6,745	0.9608	0.8212
OTSEGO	5,683	0.3666	7,723	1.1001	0.4936
PUTNAM	2,496	0.1610	6,081	0.8662	0.1707
QUEENS	177,492	11.4500	4,902	0.6983	9.7856
RENSSELAER	10,556	0.6810	7,045	1.0036	0.8364
RICHMOND	25,495	1.6447	4,908	0.6991	1.4073
ROCKLAND	11,483	0.7408	5,579	0.7947	0.7205
ST.LAWRENCE	11,014	0.7105	8,429	1.2007	1.0441
SARATOGA	9,567	0.6172	7,336	1.0450	0.7894
SCHENECTADY	10,823	0.6982	7,151	1.0187	0.8705
SCHOHARIE	2,474	0.1596	7,428	1.0581	0.2067
SCHUYLER	1,576	0.1017	7,226	1.0293	0.1281
SENECA	2,477	0.1598	7,038	1.0026	0.1961
STEUBEN	8,772	0.5659	7,426	1.0578	0.7326
SUFFOLK	48,996	3.1607	5,265	0.7500	2.9013
SULLIVAN	6,433	0.4150	7,522	1.0715	0.5442
TIOGA	3,369	0.2173	7,236	1.0308	0.2742
TOMPKINS	9,409	0.6070	7,136	1.0165	0.7552
ULSTER	12,658	0.8166	6,447	0.9184	0.9178
WARREN	4,661	0.3007	8,034	1.1444	0.4212
WASHINGTON	4,371	0.2820	7,138	1.0168	0.3509
WAYNE	5,916	0.3816	6,647	0.9469	0.4423
WESTCHESTER	46,350	2.9900	5,690	0.8105	2.9662
WYOMING	2,468	0.1592	7,528	1.0724	0.2090
YATES	1,903	0.1228	6,942	0.9889	0.1486
TOTAL	1,550,145	100	7,020	61.9966	100

Income Eligible Population based on households at or below 150% of OMB poverty level (2000 census).

* Degree days = 100% of heating degree days and 10% of cooling degree days.

Appendix C - Subgrantee Allocations		Tentative	
Subgrantee	Location	Funding	Units
Action for a Better Community, Inc.	Rochester	4,590,472	639
Adirondack Community Action Programs, Inc.	Elizabethtown	607,961	85
Albany County Cooperative Extension	Albany	1,690,607	235
Albany County Opportunity Inc.	Albany	1,690,607	235
Association for Energy Affordability, Inc.	Bronx	5,629,273	784
Bedford Stuyvesant Restoration Corporation, Inc.	Brooklyn	5,449,507	759
Bronx Shepherds Restoration Corporation	Bronx	6,988,062	973
Cattaraugus Community Action	Olean	2,049,201	285
Cayuga-Seneca Community Action Inc.	Auburn	937,737	131
Community Development Corporation of Long Island Inc.	Centerreach	10,559,795	1,470
CEO for the Greater Capital Region, Inc.	Troy	1,596,965	222
Chautauqua Opportunities Inc.	Jamestown	1,867,294	260
Columbia Opportunities Inc.	Philmont	598,322	83
COMLINKS of Franklin County	Malone	898,317	125
Community Action of Greene County Inc.	Catskill	665,794	93
Community Action Planning Council of Jefferson County, Inc.	Watertown	1,664,797	232
Community Environmental Center Inc.	Long Island City	15,950,453	2,221
Cortland County Community Action Program Inc.	Cortland	758,489	106
Crown Heights Jewish Comm. Council	Brooklyn	2,468,935	344
Delaware Opportunities Inc.	Walton	719,834	100
Dutchess County Community Action Agency, Inc.	Poughkeepsie	1,936,817	270
Economic Opportunity Program of Chemung and Schuyler Counties	Elmira	1,411,480	197
Fulmont Community Action	Fonda	1,638,682	228
Fulton Community Development Agency	Fulton	1,567,924	218
Harlem Community Development Corporation	New York	5,314,340	740
Hellenic American Neighborhood Action Council, Inc.	New York	8,806,048	1,226
Housing Conservation Coordinators	New York	2,848,695	397
Joint Council for Economic Opportunity of Clinton and Franklin Counties	Plattsburgh	1,212,460	169
Lewis County Opportunities Inc.	Lowville	457,140	64
Lt. Col. Matt Urban Human Services Center of WNY/PCCB	Buffalo	2,006,427	279
Livingston County Planning Department	Mt. Morris	581,879	81
Margert Community Corporation	Queens	5,412,789	754
Mohawk Valley Community Action	Rome	4,425,165	616
Neighborhood Housing Services of South Buffalo, Inc.	Buffalo	5,144,964	716
Niagara Community Action Program, Inc.	Niagara Falls	2,506,026	349
Northern Manhattan Improvement Corporation	New York	10,431,578	1,452
Northfield Community LDC of Staten Island	Staten Island	2,687,043	374
Northwest Bronx Community and Clergy Coalition	Bronx	6,793,950	946
Opportunities for Chenango, Inc.	Norwich	757,020	105

Opportunities for Otsego Inc.	Oneonta	942,494	131
Opportunity Development Association	Brooklyn	6,298,365	877
Orleans Community Action Committee, Inc.	Albion	912,929	127
Pathstone Corporation	Rochester	2,775,497	386
People's Equal Action and Community Effort, Inc.	Syracuse	5,939,753	827
Peoples Firehouse Inc.	Brooklyn	880,088	123
Pro Action of Steuben and Yates	Bath	1,682,454	234
Regional Economic Community Action Program, Inc.	Middletown	1,143,475	159
(Orange County, to be determined)		1,143,475	159
Rockland Community Development Council	Monsey	1,375,710	192
Saratoga County Economic Opportunity Council, Inc.	Saratoga Springs	3,169,279	441
Schoharie County Community Action Program	Cobleskill	394,656	55
Seneca County Office for the Aging	Waterloo	374,417	52
St. Lawrence County Community Development and Planning, Inc.	Canton	1,993,329	278
Stoneleigh Housing Inc.	Canastota	819,115	114
Sullivan County Commission to Help the Economy, Inc.	Liberty	1,039,111	145
Sunset Park Redevelopment Committee	Brooklyn	5,561,078	774
Supportive Services Corporation	Lancaster	5,008,771	697
Tioga Opportunities Program Inc.	Owego	3,326,223	463
Tompkins County Economic Opportunity Corporation	Ithaca	1,441,828	201
Ulster Community Action Committee Inc.	Kingston	1,752,418	244
Warren-Hamilton Counties ACEO	Warrensburg	907,324	126
Washington County Economic Opportunity Council	Fort Edward	669,980	93
Wayne County Action Program	Lyons	1,669,289	232
Westchester Community Opportunity Program Inc.	Yonkers	5,989,045	836
Wyoming County Community Action Inc.	Perry	398,970	56
Targeted multifamily set-aside		50,000,000	8,442
Reserved for subgrantee incentive pool		65,000,000	9,975
TOTAL		305,931,921	45,000