

**U.S. Department of Energy**

**WEATHERIZATION ANNUAL FILE WORKSHEET**

Identification: NT12536

State: ME

Program year: 2013

Budget period: 04/01/2013 - 03/31/2014 – **DRAFT 3/7/2013**

**II.3 Subgrantees (NOTE: Assumes 2012 funding; as of 3/8/2013, DOE 2013 funding has not yet been announced.)**

Allocation is determined by multiplying grant award by percentage of certified eligible LIHEAP applications per CAA.

Grantee	City	Tentative	
		Funding	Units
Aroostook County Action Program	Presque Isle	202,963.00	24
Community Concepts, Inc.	South Paris	267,200.00	31
Kennebec Valley Community Action Program	Waterville	360,816.00	42
Penquis Community Action Program	Bangor	350,016.00	41
Opportunity Alliance	Portland	147,355.00	17
Waldo Community Action Partners	Belfast	84,481.00	10
Washington-Hancock Community Agency	Ellsworth	203,964.00	25
Western Maine Community Action	East Wilton	70,933.00	8
York County Community Action Corporation	Sanford	145,617.00	17
<b>TOTALS</b>		<b>1,833,345</b>	<b>215</b>

**II.4 WAP Production Schedule**

Total Units (excluding reweatherized)	212
Rewatherized Units	3

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Average Unit Costs, including Reweathering, Subject to DOE Program Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	212
C	Total Units Reweatherized	3
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	215
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$1,477,501.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	215
H	Average Program Operations Costs per Unit (F divided by G)	\$6,872.10
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,872.10

**II.5 Energy Savings**

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

For PY11: 223 Units  
 x 30.50 MBTUs  
 6,801.50 MBTUs - total annual estimated energy savings

Estimated energy savings: 6,801.00 (MBtu)

Estimated prior year savings: Actual:

If variance is large, explain:

**II.6 Training, Technical Assistance, and Monitoring**

The Grantee utilizes its T & TA funds for activities that will help the sub-grantee personnel achieve and grantee personnel to ensure a uniform level of quality work throughout the state. Training will be offered in various areas including new and proven weatherization procedures, computerized operations and other related topics. Attendance at training programs by the sub-grantee staff is voluntary unless training is deemed necessary to program operations. MaineHousing reserves the right to require auditor and technician participation in trainings as deemed necessary to eliminate a demonstrated weakness in a sub-grantee's administration of the program. Grantee and sub-grantee energy auditors and weatherization installers who work in DOE-funded WAP will be required to comply with DOE Guidelines for Home.

Energy Professionals. MaineHousing anticipates using the Weatherization Training Centers (WTCs) in these efforts: WTCs will work closely with DOE regarding appropriate training and MaineHousing will update WTCs with Maine-specific issues.

In addition to the required certification of Energy Auditors and Technicians, T&TA funds will be used to pay for training initiatives related to work performed under the Maine Weatherization Assistance Program. These training activities include, but are not limited to the following:

- ASHRAE 62.2
- Mobile Home Training
- Indoor Air Quality
- Mold/Moisture Issues
- Pressure Diagnostics
- Lead Safe Weatherization
- Proper Air Sealing Techniques
- House of the month - case studies shared at BTC meetings
- Audit Tool Training - MEADOW96/ECOS (once implemented)
- Combustion, Zonal Pressure, Temperature Heat Rise; External Static Pressure, etc.

The 2013 T&TA will be retained by the Grantee to cover costs related to MaineHousing's technical staff efforts on DOE-funded WAP. In addition, sub-grantees will be reimbursed for Energy Auditor and Technician certifications as well as other trainings deemed necessary subject to approval through the annual work plan and budget process. Within budget constraints, T&TA funds will be used to cover sub-grantee travel expenses, salaries and registration fees for any WAP staff /employees receiving weatherization training related to WAP activities such as those listed above.

### Monitoring Activities

Monitoring processes will be in compliance with 10 CFR part 600 and part 440 as well as applicable OMB Circulars.

The purpose of monitoring in Maine's Weatherization Assistance Program is to ensure quality workmanship, client health and safety, effectiveness of work, sub-grantee compliance with all requirements under the MaineHousing Work Plan and Budget Guidance and proper financial procedures as well as to maximize energy savings in each household. Monitoring will also gather information for Grantee management to enhance the operation of the WAP through relevant training programs.

On an annual basis, MaineHousing conducts a fiscal review of each sub-grantee to ensure proper financial procedures are followed for all programs administered by that agency on behalf of MaineHousing, which includes the Maine Weatherization Program.

In addition to fiscal monitoring, MH has three technicians who conduct inspections of completed units (minimum of 5%) to check the quality of work of both the installers and sub-grantee energy auditors, and to validate that measures billed were actually installed. The sample of completed units for inspection is selected from the billings submitted each month and customer survey responses received that indicates that problems may exist with the job. These inspections normally occur the month after the billing. When not inspecting completed units the technicians are identifying and conducting reviews on work in progress. Doing in-progress inspections allows MH to identify weaknesses in the program and/or issues with the contractors/auditors so we can make necessary corrections before a project is completed. The inspection process also serves to identify training needs within the program. DOE has indicated a desire for increased quality assurances. MH will automatically conduct additional monitoring to ensure that sub-grantees and contractors are in compliance with all program rules and regulations. Additional monitoring may be triggered by a number of factors such as billing and/or production concerns raised during the processing of monthly billings; client calls/complaints; or any other means that would indicate that a problem may exist. MH has developed a database to track all outstanding concerns identified during the inspection process. MH will complete and document an annual analysis of each sub-grantee using monitoring reports and findings.

The following areas will be included in Maine's overall WAP monitoring efforts:

- Fiscal Accountability
- Accuracy of Reporting
- Procurement
- Recordkeeping
- Sub-grantee Annual A-133 Audit Reports
- Compliance with Maine's Work Plan and Budget Guidance Documents
- Measures Performed
- Quality of Workmanship
- Production vs. Forecast
- Waiting Lists/Priority Households
- Customer Surveys
- Adherence to DOE and Program guidelines

These areas will be evaluated by the following methods:

- Administrative & Programmatic Monitoring Visits
- Review of Independent Sub-grantee audits
- Review of Monthly Billings
- Review of Sub-grantee work plans, budgets, and reported results
- Inspection of completed units (minimum of 5%)
- Examination of client files (Maine reviews 100%)
- Discussions with clients
- Analysis of client survey results
- Review of contractor invoices to bills submitted to MaineHousing.

## II.7 DOE-Funded Leveraging Activities

The Grantee has budgeted \$0 DOE funds for leveraging activities in PY'13.

**II.8 Policy Advisory Council Members** (names, groups, agencies)

Efficiency Maine Trust	Jim Atwell
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**II.9 State Plan Hearings** (send notes, minutes, or transcript to the DOE office)

Hearing 03/19/2013	Newspapers will publicize the hearings on/around 3/9/2013.
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**II.10 Adjustments to On-File Information**

Weatherization Work (under III.3.1 Type of Work to be Done - page 3 of the Master File)

MaineHousing includes a cap on the amount of incidental repair costs that can be charged to the grant. CAAs must manage to an overall per unit average of 15% of total cost of weatherization, which equals labor and materials for conductive, air infiltration, and mechanical tasks.

Waiver Audit Approval (under III.3.2 Energy Audit Procedures - page 4 of the Master File)

Maine has developed an updated audit tool – Energy Conservation On-Line System (ECOS) – that received conditional DOE approval in August 2011. ECOS replaced MEADOW as the audit tool for the Maine Weatherization Assistance Program effective October 2012-January 2013 in rolling implementation. ECOS is a comprehensive audit tool and weatherization management information system. ECOS captures information from modeling the house, completing the audit, installing the job, documenting the job, inspecting the job, monitoring the job, assigning funding, and billing. In addition to overall job SIR, Maine's audit calculates a SIR for all contemplated weatherization measures, ranks them by descending order of payback, and does not allow any that fail a 1 to 1 payback test to be funded with DOE WAP.

Maine Weatherization Standards (under III.3.1 Type of Work to be done – page 3 of the Master File)

Maine's Building Technical Committee (BTC), consisting of one weatherization staff person from each Community Action Agency sub-grantee, meets on a monthly basis. The BTC discusses and analyzes energy, task and conservation related matters pertaining to the WAP. These meetings allow state-wide exchange of technical knowledge as well as foster cooperation between sub-grantees and grantee personnel. The BTC may suggest program improvements to the CAA Housing Council for their review and possible recommendation to the Director of Energy and Housing Services at MaineHousing.

MaineHousing will interact with the BTC to understand, discuss, and implement DOE's Standard Work Specifications Guidelines once disseminated, including, as appropriate, incorporating those standards into Maine's Weatherization Standards Manual.

Health & Safety (Section III.4 of the Master File – page 6)

Health and Safety is limited to an overall per unit average of \$800 (11.6% of the total per dwelling allowable average of \$6,904), to accommodate the higher dwelling unit average and the increased costs related to ASHRAE 62.2.

MH has updated its health and safety plan (Section 4 of the Maine Weatherization Standards), as required under Weatherization Assistance Program Notice 11-6 effective January 12, 2011, to meet program requirements. This update includes the adoption of ASHRAE 62.2 and an update to lead safe practices to comply with the provisions outlined in Weatherization Assistance Program Notices 09-6 and 08-6, including RRP and LSW. The Maine Weatherization Standards may be viewed at <http://www.mainehousing.org/docs/energy/energy-meexstandards.pdf?sfvrsn=3>

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Rental Procedures (Section III.5 - page 16 of the Master File)

MaineHousing's goal for the weatherization of multifamily units is for the low income tenants to receive a direct benefit. For the purposes of this policy, multifamily properties are those with five (5) or more units. One of the units may be occupied by the owner. MaineHousing, consistent with Department of Energy guidance, requires the weatherization of the entire building not just the low income units. The amount available to weatherize the entire building is equal to the maximum dollar amount that may be spent weatherizing the low income units.

There are many positive outcomes that result from weatherization – tenant comfort, preservation of affordable housing, and carbon reductions to name a few. However, there is so little money compared with the need that the focus must remain on properties where the low income tenants see a direct financial benefit. Multi-family units will be prioritized similar to single family: tenants with highest energy use and highest energy burden (as percentage of income) will receive priority.

Weatherization Assistance Program (WAP) funding may be used to weatherize multi-family units according to the following guidelines:

1. At least 66% of residents in the property (determined on a building-by-building basis in a multi-building property) must meet WAP income guidelines.
2. The percentage of funding per program year that may be multi-family is limited to the most recent LIHEAP or Comprehensive Housing Affordability Strategy data available (whichever is more favorable). This data is available by county. For CAAs covering more than one county, the individual county percentages will be averaged and that result will be the CAAs allowable multifamily percentage. For properties with more than one building and a common owner, each building will be considered separately in determining whether the structure will or will not count towards the multifamily caps. Weatherization of building structures with one unit (including single-family attached homes such as townhouses, even if part of a larger multifamily property, which are separated by a full ground-to-roof wall) and building structures with 2-4 units (including stacked duplexes and triple deckers) do not count towards the multifamily caps.

Before proceeding with multi-family weatherization, CAAs must contact Energy & Housing Services (EHS) providing specific details on the property in question – address, project name, and how the property meets priority requirement. EHS will research the project and, if appropriate, provide clearance to move forward. If an agency weatherizes without approved clearance and MH subsequently determines the project is in MH's portfolio, is financed/owned by a CAA, or sufficient reserves are in place for the project to incur some or all of these costs, MaineHousing has the right to refuse to reimburse for weatherization costs incurred.

Grantee Personnel (Section III.6.1 Overview of the Master File – page 18)

MaineHousing's Department of Energy & Housing Services (Grantee), which administers the Department of Energy Weatherization Assistance Program, has adjusted its staffing level due to finalizing ARRA. One Technical Services Specialist, the Housing Program Assistant, and the Weatherization Program Officer positions have been eliminated. The duties of the Technical Services Specialist have been absorbed by the remaining three Technical Services Specialist positions. The duties of the Weatherization Program Officer and Housing Program Assistant have been merged with an existing position to create a Weatherization/CHIP Program Officer. Programmatic duties of the Manager of Compliance and Quality Assurance related to WAP have been transferred to the Program Operations Manager.

**II.11 Miscellaneous**





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**Policy Advisory Council**

2009 Public Law Chapter 372, An Act Regarding Maine's Energy Future, repeals 5 MRSA §3327, which established the Energy Resources Council, and places oversight of energy-related programs under the jurisdiction of the Efficiency Maine Trust as of July 1, 2010. The new law requires that "after July 1, 2010, the Maine State Housing Authority, prior to applying for federal funds on behalf of the State... for weatherization, energy conservation and fuel assistance pursuant to the Weatherization Assistance for Low-Income Persons Program administered through the United States Department of Energy and the Low-Income Home Energy Assistance Program administered through the United States Department of Health and Human Services, shall submit to the board for its review and input the authority's implementation plans for the use of such funds. The plans must provide for coordination by the Maine State Housing Authority in its use of such funds with the programs administered by the trust.... The Maine State Housing Authority shall include in its plans any recommendations of the board to the extent the recommendations are consistent with the applicable federal guidelines governing the use of the funds." The Efficiency Maine Trust is controlled by a board of nine voting members. The statutory membership includes the Director of the Maine State Housing Authority, the Director of the Governor's Office of Energy Independence and Security and seven members appointed by the Governor that adequately represent the interests of commercial energy consumers, industrial energy consumers, small business energy consumers, residential energy consumers, and low-income energy consumers. The body as a whole must include persons with knowledge and experience in financial matters, consumer advocacy, conservation fund programs, carbon reduction programs, and climate change policy.

The individuals appointed to this committee include: Jim Atwell - Chair; Al Hodsdon -Vice Chair; Brent Boyles - Treasurer; Glenn Poole; John Rohman; Doug Smith; Naomi Mermin; Patrick Woodcock - Director, Governor's Energy Office; and John Gallagher - Director, Maine State Housing Authority.

The Efficiency Maine Trust reviewed MaineHousing's draft plans for the 2013 Regular program at its February 27, 2013 meeting.