

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

2. Type of Application:

- ☐ New
☒ Continuation
☐ Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:

DE-EE0006149

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

a. Legal Name: State of Hawaii Department of Labor and Industrial Relations Office of Community Se

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

990266120

c. Organizational DUNS:

949978845

d. Address:

Street 1: 830 Punchbowl Street, Rm. 420

Street 2:

City: Honolulu

County: HONOLULU County

State: HI

Province:

Country: U.S.A.

Zip / Postal Code: 968135095

e. Organizational Unit:

Department Name:

Department of Labor & Industrial Relations

Division Name:

Office of Community Services

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

Prefix: Ms First Name: Rona

Middle Name: M

Last Name: Suzuki

Suffix:

Title: Executive Director

Organizational Affiliation:

Telephone Number: 8085868675

Fax Number: 8085868685

Email: rona.m.suzuki@hawaii.gov

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9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002016

Title:

2016 Weatherization Assistance Funding Opportunity

13. Competition Identification Number:

Title:

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

Statewide (City and County of Honolulu, Hawaii County, Maui County, Kauai County)

15. Descriptive Title of Applicant's Project:

The Weatherization Assistance Program (WAP) enables low-income families to permanently reduce their energy bills by making their homes more energy efficient. The U.S. Department of Energy (DOE) provides funding to Department of Labor and Industrial Relations- Office of Community Services (DLIR-OCS) and other States and territories to manage the program and provide weatherization assistance to eligible clients.

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16. Congressional District Of:

a. Applicant: Hawaii Congressional District 01

b. Program/Project: HI-Statewide

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

17. Proposed Project:

a. Start Date: 10/01/2016

b. End Date: 09/30/2017

18. Estimated Funding (\$):

a. Federal	206,123.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	206,123.00

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

- ☒ a. This application was made available to the State under the Executive Order 12372 Process for review on: 01/20/2014
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372

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

No

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

☒ I AGREE

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

Authorized Representative:

Prefix: Ms First Name: Rona

Middle Name: M

Last Name: Suzuki

Suffix:

Title: Executive Director

Telephone Number: 8085868675 Fax Number: 8085868685

Email: rona.m.suzuki@hawaii.gov

Signature of Authorized Representative: Signed Electronically Date Signed: 08/01/2016

Authorized for Local Reproduction

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Hawaii Department of Labor and Industrial Relations Office
of Community Services
Award number: EE0006149

Budget period: 10/01/2016 - 09/30/2017

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

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

Position	Description of Duties of Professionals
WAP Manager	Project Administration Program Support
Fiscal Staff	Fiscal Administration

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
WAP Manager	\$50,016.00	11.0000 % FT	\$5,501.76
Fiscal Staff	\$42,000.00	3.3000 % FT	\$1,386.00
		Direct Pay Total	\$6,887.76

2. FRINGE BENEFITS

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

Fringe benefit rates is approved by the U.S. Department of Health and Human Services (DHHS). Attached to the SF-424 is a copy of the approved FY 16 rate. The fringe benefit rate for FY 17 has not been issued yet.

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

Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
WAP Manager	\$5,501.76	49.5400 %	\$2,725.57
Fiscal Staff	\$1,386.00	49.5400 %	\$686.62
		Fringe Benefits Total	\$3,412.19

3. TRAVEL

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

Purpose of Trip	Number of Trips	Cost Per Trip	Total
DOE allows grantees to use their T&TA for required monitoring of subgrantees. DLIR-OCS is budgeting for the travel required to monitor some of its subgrantees since DLIR-OCS' office is located on the island of Oahu and some of the subgrantees are located on different islands that require flying to get to.	2	\$500.00	\$1,000.00
DOE expects grantees to budget adequate funds to participate in national and regional conferences, therefore, DLIR-OCS is budgeting for both the Mid-winter and Annual Conference. These specialized training will equip the WAP manager with the essential knowledge of efficiently operating the program.	2	\$3,500.00	\$7,000.00

Travel Total	\$8,000.00
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- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

DLIR-OCS is estimating \$3,500 for travel to conferences on the mainland. The estimated costs are based on a combination of previous travel for training and conference related expenses from FY 2014 and FY 2015 and on current airline, lodging and rental car quotes. DLIR-OCS is estimating \$500 for travel to the neighbor islands to conduct monitoring activities. The estimated costs are based on a combination of previous travel for monitoring and on current airline and car rental quotes.

4. EQUIPMENT - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

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

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

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

General Category	Cost	Justification of Need
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- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

6. CONTRACTS AND SUBGRANTS - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e. weatherization subgrants, Annual File section II.3).

Name of Proposed Sub	Total Cost	Basis of Cost*
Subgrantee T&TA	\$21,973.00	DLIR-OCS is budgeting its subgrantee Training and Technical Assistance (T&TA) allowance for subgrantees to conduct monitoring of weatherized homes, provide client education, and to attend training conferences. \$3,973 of the subgrantee T&TA total cost is carryover reallocated to the subgrantee.
Subgrantee Administrative	\$31,587.00	New award is less than \$350,000 so subgrantee can be allocated 10% of new award for admin costs. \$10,974 of the subgrantee admin total cost is carryover reallocated to the subgrantee.

Subgrantee Program Operations	\$239,186.00	Total cost is the amount that will be contracted to subgrantees for their program operations budget category and to use for weatherizing of homes. \$91,975 of the subgrantee program operations total cost is carryover reallocated to the subgrantee.
Contracts and Subgrants Total	\$292,746.00	

*For example, Competitive, Historical, Quote, Catalog

7. OTHER DIRECT COSTS - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need.

General Description	Cost	Justification of Need
Grantee T&TA	\$2,000.00	To contract with a WAP trainer to provide follow-up training for DLIR-OCS staff members and subgrantees, to provide any necessary training in regards to implementing Hawaii's upcoming new priority list and to make any edits necessary to Hawaii's Weatherization Field Guide.
Other Direct Costs Total	\$2,000.00	

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

DLIR-OCS hosted a training on WAP for its subgrantees. DLIR-OCS contracted with NASCSP to conduct the training.

DLIR-OCS is budgeting \$2,000, based on expenses, for NASCSP to provide follow-up training for grantee and subgrantee staff, any training necessary for the subgrantees regarding Hawaii's upcoming new priority list and for any revisions needed for Hawaii's Weatherization Field Guide.

8. INDIRECT COSTS

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

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

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

Name:

Phone Number:

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WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006149, State: HI, Program Year: 2016)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Honolulu Community Action Program (Honolulu) (Honolulu)	\$146,373.00 0
Kauai Economic Opportunity, Inc. (Lihue) (Lihue)	\$146,373.00 0
Total:	\$292,746.00 0

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	34
Rewatherized Units	0

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

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	34
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	34
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	\$239,186.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	34
H	Average Program Operations Costs per Unit (F divided by G)	\$7,034.88
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,034.88

IV.3 Energy Savings

Method used to calculate savings: ☐ WAP algorithm ☒ Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	34	N/A	580 *
Prior Year Estimate	36	N/A	580 *
Prior Year Actual	22	N/A	0 *
* Energy Savings values were manually entered.			
Method used to calculate savings description:			
Depending on home audits, a variety of weatherization measures will be installed. The potential energy savings are estimated per measure as follows: - Solar water heater - 2250kWh savings/yr (based on Hawaii Energy data-backed calculation for Oahu) - Compact fluorescent light - 26.5 kWh savings/yr (based on Hawaii Energy calculation for Oahu) - Hybrid heat pump - 3023 kWh savings/yr (Based on DOE test procedure and comparison of a 50-gallon standard electric tank water heater using 4879 kWh per year vs. the GeoSpring hybrid heat pump water heater using 1856 kWh per year.)			

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- Refrigerator replacement - 1142 kWh savings/yr (from DOE estimate published by Energy Star)
- Room air conditioner replacement - 132 kWh savings/yr (from Energy Star average calculation for replacing a 10 year old unit)

For the purposes of estimating an annual savings per unit, we will post a typical home which might receive 8 CFLs, a hybrid heat pump and a refrigerator -- kWh/yr savings would be 4,337 kWh or 14.79 Mbtu.

IV.4 DOE-Funded Leveraging Activities

Not Applicable

IV.5 Policy Advisory Council Members

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

Hawaii State Legislature	Type of organization: Unit of State Government Contact Name: Senator Suzanne Chun Oakland, District 13 Phone: (808)586-6130 Email: senchunoakland@capitol.hawaii.gov
Maui Economic Opportunity, Inc.	Type of organization: Local agency Contact Name: Bishop Pahia Phone: (808)249-2990 Email: bishop.pahia@meoinc.org
State of Hawaii Department of Human Services	Type of organization: Unit of State Government Contact Name: Pat McManaman, Director of DHS Phone: (808)586-4997 Email: pmcmanaman@dhs.hawaii.gov
State of Hawaii Public Housing Authority	Type of organization: Unit of State Government Contact Name: Hakim Ouansafi, Executive Director Phone: (808)832-4694 Email: hakim.ouansafi@hawaii.gov
State of Hawaii, DBEDT	Type of organization: Unit of State Government Contact Name: Dean Masai, CGP Energy Analyst Phone: (808)587-3804 Email: dmasai@dbedt.hawaii.gov

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
No record found	

IV.7 Miscellaneous

Recipient Business Officer:
Name: Rona M. Suzuki
E-mail: Rona.M.Suzuki@hawaii.gov
Phone #: 808-586-8675

Recipient Principal Investigator:
Name: Lissa M. Onishi
E-mail: Lissa.M.Onishi@hawaii.gov
Phone #: 808-586-8623

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

For the purposes of weatherization assistance, low-income means at or below 200 percent of the Federal Poverty Guidelines, as established by the US Department of Health and Human Services. This is in accordance with 10 CFR 440.22 (a).

Describe what household Eligibility basis will be used in the Program

In determining eligibility for weatherization assistance, the Department of Labor and Industrial Relations – Office of Community Services (DLIR-OCS) complies with 10 CFR 440.016 and 10 CFR 440.22, which state that priority for weatherization assistance be given to low-income persons who are particularly vulnerable such as the elderly, persons with disabilities, families with children, high residential energy users, and households with high energy burden.

According to the U.S. Census Bureau's most recent data, Hawaii had an estimated population of 1,431,603 in 2015. Of this estimated number, 93,055 are children under 5 years old and 236,215 are elderly (65 years and over). Of the total population, an estimated 11.4 percent (163,203 individuals) are living below the poverty level. Furthermore, Hawaii has an estimated 532,455 housing units in 2015.

In addition, Hawaii faces high energy prices, compared to the mainland, due to the cost of imported oil. According to the U.S. Energy Information Administration, in 2016, Hawaii residents pay an average of 26.87 cents/kWh, but the national average is 12.80 cents (ref: https://www.eia.gov/electricity/monthly/epm_table_grapher.cfm?t=epmt_5_6_a). However, the prices also varies depending on the different islands. According to Hawaii Energy, the island of Oahu pays the least for electricity at 25.5 cents/kWh, while Maui pays 29.3 cents/kWh, Molokai pays 29.8 cents/kWh, Hawaii Island pays 30.5 cents/kWh, Kauai pays 32.1 cents/kWh, and Lanai pays 34.1 cents/kWh (ref: <https://hawaiienergy.com/about/get-the-facts>).

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

In regards to qualified aliens, DLIR-OCS is fully compliant with Federal provisions related to verification of qualified alien status by adhering to the Qualified Alien Status and Eligibility under Title of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, published November 17, 1997 (62 FR 61344).

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Subgrantees have intake and client selection procedures in place to determine the eligibility of the client and the dwelling unit. Included in this procedure is the requirement for prospective clients to complete an application form, which gathers information on family data, annual income, and client needs. A Program Coordinator will screen the application and determine household eligibility within income and program guidelines. After a client's eligibility has been certified, the client will remain eligible for weatherization assistance for twelve months from date of application. If weatherization work has not started, the household may reapply using only a declaration of income statement instead of repeating the complete application process. However, applicants who are on the waiting list are subject to the WPN 16-3 requirement that eligibility documentation be updated at least annually.

Describe Reweatherization compliance

The Recovery Act amended the DOE Weatherization Reweatherization dates, and now allows grantees and subgrantees to weatherize homes weatherized prior to September 30, 1994, and earlier. Therefore, subgrantees are required to retain records of all weatherized dwellings, including the date of weatherization and a description of DOE funds and other funds used for weatherization of a particular dwelling. As part of the eligibility process potential eligible clients will be asked if their

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homes were previously weatherized. Though not encouraged, it is up to the subgrantee to determine if reweatherization shall be given to previously weatherized units.

Subgrantees wishing to serve homes located in disaster areas, shall abide by DOE guidance, WPN 12-7, which addresses Disaster Planning and Relief. Subgrantees shall follow the appropriate procedures when initiating reweatherization measures of these homes.

Describe what structures are eligible for weatherization

Weatherization assistance is provided to low-income persons who live in all types of housing, such as single-family homes and multi-family homes, as long as it is occupied by a family unit that meets the client eligibility criteria.

Describe how Rental Units/Multifamily Buildings will be addressed

When subgrantees determine eligibility and weatherization of rental units and multi-family buildings, the landlord of the structure will sign an agreement (see Landlord Cooperation Agreement attachment) that states that they will not raise the tenant's rent for the next five years, they will be notified when weatherization improvements have been completed, and they will follow the rules and regulations for evicting a tenant, in accordance with 10 CFR 440.22 (b)(3). In addition, for multi-family buildings, the subgrantee will ensure that a minimum of 66 percent of the dwelling units in the building are occupied by a family unit that meets the income requirements, in accordance with 10 CFR 440.22 (b).

Describe the deferral Process

When there are major health, safety, or durability problems, the subgrantees decide whether to defer work in a dwelling or to provide no weatherization services. The issues that could result in deferral of services include, but are not limited to, the following:

- Major roof leakage.
- Major foundation damage.
- Major moisture problem including mold infestation.
- Major plumbing problems.
- Human or animal waste in the home.
- Major electrical problems or fire hazards.
- The home is vacant or the client is moving.
- The home is for sale.

Behavioral issues may also be a reason to defer services to a client, including but not limited to, the following:

- Illegal activity on the premises
- Occupant's hoarding makes difficult or impossible to perform a complete audit.
- Lack of cooperation by the client.

Should deferral be appropriate, the subgrantee shall provide a written notice to clients with a Weatherization Deferral/Referral Notice. The client will be given 30 days to take corrective action. If the client is able to take corrective action within 30 days, then work will resume as soon as possible. If the problem is not corrected within 30 days, the subgrantee will change the status of the job to inactive. The client is able to reapply once the problem on the Deferral Notice has been corrected.

Deferral measures are referenced in the Hawaii Weatherization Field Guide.

V.1.3 Definition of Children

Definition of children (below age): 5

V.1.4 Approach to Tribal Organizations

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

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

The indigenous people of Hawaii, Native Hawaiians, who are low-income will receive benefits equivalent to the weatherization assistance provided to other low-income applicants, within the State, and participate in the same application process.

V.2 Selection of Areas to Be Served

Given Hawaii's unique geography, weatherization assistance is provided in the counties where there is a service provider. In PY15, that was the City and County of Honolulu (Island of Oahu) and the County of Kauai.

Through the procurement process, the DLIR-OCS will evaluate prospective subgrantees' experience, capabilities, and capacity to administer WAP. The DLIR-OCS will also take into account the agency's geographic location and work in areas where vulnerable low-income persons such as the elderly, people with disabilities, families with children, high residential energy users, and households with high-energy burden (10 CFR 440.3) reside.

If at any time, during the program year, a subgrantee is unable to meet WAP requirements, cancels its weatherization contract, or has any excess funds then DLIR-OCS reserves the right to reallocate the funds among local administering agencies.

V.3 Priorities for Service Delivery

In compliance with 10 CFR 440.016 and 10 CFR 440.22, priority for service delivery is given to elderly people, people with disabilities, families with children, high residential energy users, and households with high energy burden. Once a potential client has filled out the intake form, the subgrantee will determine eligibility and will rank them on a point system, giving more points to clients with high energy burden. (See Hawaii SP Priority List Attachment)

V.4 Climatic Conditions

Due to Hawaii's location in the Tropic of Cancer, Hawaii only experiences two seasons, winter and summer. Hawaii's summer is between the months of May to September and winter is October to April. During the summer, Hawaii experiences an increase in temperature, humidity, and sun intensity with a decrease in trade winds; and during the winter, Hawaii experiences heavy rain and lower temperatures. The following links summarize Hawaii's climate:

Hawaii Average Precipitation

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mPn.gif>

Precipitation Departure from Average

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mPdep.gif>

Heating Degree Days in Hawaii

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mHdd.gif>

Heating Degree Days Departure from Average

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mHdddep.gif>

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Cooling Degree Days in Hawaii

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mCdd.gif>

Cooling Degree Days Departure from Average

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mCdddep.gif>

Average Temperature

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mTv.gif>

Average Max Temperature

<http://www.wrcc.dri.edu/cgi-bin/anomimage.pl?haw12mTx.gif>

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

DLIR-OCS has a field guide and field standard (see attachments) that all subgrantees follow in addition to the 10 CFR 440 and 10 CFR 600. Before DLIR-OCS contracts the subgrantees, they are required to submit a quality assurance plan that provides, in detail, their procedures to ensure all Federal, State, and County requirements are being met.

Currently, weatherization services include:

- Intake
- Assessment and audit
- Energy saving measures
- Energy education
- Verification of work
- Monitoring energy usage and savings

Installation of measures is dependent on the energy audit that the subgrantee conducts for each household. Currently, there are eight approved weatherization measures in the Approved Hawaii Priority List which applies to single family homes and multi-family buildings with units of four or less (DOE approved on December 2011). The following measures are listed in the order of highest to lowest in terms of cost effectiveness:

- Low-Flow Showerheads
- Low-Flow Faucet Aerators
- Compact Fluorescent Light Bulbs (CFLs)
- Small Room Air Conditioners (6-8,000 Btu/h cooling capacity) Replacement
- Solar Water Heater or Hybrid Heat Pump Installation
- Water Heater Timer
- Refrigerator Replacement
- Large Room Air Conditioner (18,000 Btu/h cooling capacity) Replacement for Hawaii, Kauai, Lanai and Molokai only

All subgrantee agreements and vendor contracts, active in Program Year 2016 and beyond, include language which clearly documents the SWS specifications for work quality outlined in WPN 15-4, section 2.

Subgrantees ensure that all contractors sign the final inspection form to indicate that the SWS Field Guide procedures and standards were implemented in the installation of the weatherization measures.

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V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family : The attached, State of Hawaii Priority List approved on December 2011, serves as an audit procedure for single family units and multifamily with 4 units or less.

Manufactured Housing : N/A in Hawaii

Multi-Family : The attached, State of Hawaii Priority List approved on December 2011, serves as an audit procedure for single family units and multifamily with 4 units or less. Structures larger than 4 units would need to be submitted to DOE for approval.

Comments

The DOE approved Priority List dated December 2011 will be used by all subgrantees as approved audit measures to implement a comprehensive approach when weatherizing a dwelling unit. This Priority List is the most current and up to date priority list, and will be used by subgrantees for PY2016.

A pre-installation evaluation, a post-installation evaluation, and an evaluation three and six months after the final inspection is conducted by the subgrantees. The data collected from these evaluations will be used to examine the client's energy cost at the given time and to determine the efficiency and productivity of the weatherized measures installed in the dwelling.

V.5.3 Final Inspection

In accordance with 10 CFR 440.21, to complete installation of weatherization services for a dwelling, the subgrantee or its authorized representative will conduct a final inspection of the dwelling unit to certify that all weatherization and mechanical work has been completed in a quality manner, is in compliance with applicable rules and codes, and is in accordance with the priorities determined by the audit.

Due to the type of weatherization done in the State of Hawaii, Hawaii has an exemption for Certified Quality Control Inspectors (QCI). The final inspector needs to be trained on the specific measures the State of Hawaii implements, but does not need to go through the QCI training.

The policies and procedures that will govern the quality control inspection process in accordance with WPN 15-4 section 3 and outline disciplinary actions for inadequate inspection practices are outlined in the Hawaii Weatherization Field guide. The inspector shall conduct a final inspection with the crew to all weatherized dwellings, which includes a final inspection certification form and photos of the weatherized dwelling to show visual proof of installation and compliance to verify the following:

- Review all completed work with the client. Confirm that the client is satisfied.
- Specify corrective actions whenever the work doesn't meet standards.
- Verify that all required paperwork, with required signatures is in the client file.

V.6 Weatherization Analysis of Effectiveness

The effectiveness of the subgrantee's weatherization work is assessed using monthly program reports that reflect the number of homes that were weatherized, the measures that were implemented, and the status of applicants and potential applicants. In addition, the subgrantees submit a narrative to OCS that depicts what the program did overall for the month.

V.7 Health and Safety

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(See Healthy and Safety Attachment)

V.8 Program Management

V.8.1 Overview and Organization

Administratively attached to DLIR, OCS was created by the State Legislature in 1985. This legislation is codified as Chapter 371K, Hawaii Revised Statutes.

DLIR-OCS collaborates with various public and private agencies and human service programs to assist Hawaii's low-income, immigrant, and refugee populations to overcome and alleviate workforce barriers to economic self-sufficiency through an array of community-based programs and services. The primary purpose of DLIR-OCS is, "to facilitate and enhance the development, delivery, and coordination of effective programs for those in need and to provide advice and assistance to the agencies of the executive branch in the human service field, and the legislature."

The DLIR-OCS office is located in the Keelikolani building at 830 Punchbowl St, Room 420, Honolulu, Hawaii 96813, telephone (808) 586-8675, fax (808) 586-8685.

V.8.2 Administrative Expenditure Limits

In accordance with federal regulation 10 CFR 40.18 (e), the combined amount for both grantee administration and subgrantee administration is no more than 10 percent of the new funds awarded, and no more than 5 percent of the new funds may be used by the grantee for administrative purposes. However, grantees may allow subgrantees receiving less than \$350,000 in funds to use up to an addition 5 percent of their subgrants for administration. This is permitted only if the grantee determines that the subgrantee requires the additional amount to effectively implement the administrative requirements of the program.

Due to the limited amount of funding, DLIR-OCS budgets for the additional 5 percent in administrative expenditure funds to the subgrantee to offset the high administrative demands of the program. In cases where subgrantees do not require additional administrative funds, or do not need the full 5 percent additional allowance, these funds will continue to be used for the program services.

V.8.3 Monitoring Activities

DLIR-OCS conducts annual monitoring visits and periodic reviews of each subgrantee. The monitoring visits will be developed in the first half of PY 16, and the specific dates of monitoring will be determined once the subgrantees are selected through a competitive procurement process.

DLIR-OCS goals for monitoring WAP activities include:

1. Analyzing whether best possible program services are being delivered to the low-income population.
2. Determining program compliance and accountability.
3. Analyzing program performance.
4. Analyzing quality and effectiveness of the work on completed dwellings.
5. Being an advocate and asset for program improvement.
6. Identifying problems, deficiencies, and areas that need improvement.
7. Assisting agencies in their program operations and compliance with DOE and State regulations.
8. Advising agencies on how to correct any weaknesses and deficiencies.
9. Assessing the need for training and technical assistance to improve local agency service delivery, cost-effectiveness, and accountability.
10. Determining ways that monitoring activities can be improved.

In accordance with 10 CFR 440.23 and to achieve the defined goals based on the principles stated above, DLIR-OCS shall monitor and evaluate the operations of projects carried out by subgrantees by performing periodic monitoring reviews of the fiscal, programmatic, and field functions of local

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weatherization agencies through:

1. Desktop monitoring: The OCS Program Specialist will review and track all available subgrantee reports for timeliness, audit findings, and resolution of findings. The OCS Program Specialist reviews agency Monthly Progress Reports and tracks agency production and expenditures on a monthly basis. Desktop monitoring occurs throughout the program year.
2. Subgrantee Agency Monitoring Visits: Each subgrantee receives at least one field and one fiscal on-site visit per year. Additional visits are scheduled as needed to address specific subgrantee issues as they arise. Included in the monitoring are the inspections of completed units to determine compliance with federal and state requirements, client satisfaction, and work quality. A minimum of 10 percent of all weatherized units are inspected during each subgrantee monitoring. Included in these visits are:
 1. Fiscal Monitoring:
 - Review of financial records;
 - Review of purchasing and bidding practices;
 - Review of payroll and documentation;
 - Review of travel records;
 - Review of vendor payments;
 - Assistance with potential audit problems; and
 - Reviews last fiscal audit.
 1. Field Monitoring:
 - Client files
 - Production, expenditures, and related compliance issues
 - Material, tool, equipment, and inventory
 - Client flow charts and scheduling practices
 - Safety policies and practices
 - Insurance policies

DLIR-OCS observes the following procedures for monitoring:

1. Monitoring visits will be scheduled in advance with the agency subgrantee. The WAP Manager will send a memorandum with the monitoring schedule. Subgrantee agencies will be given a period of time to inform the WAP Manager if there are overriding conflicts with the scheduled dates for the agency, and new monitoring dates will be selected.
2. Upon arrival at the agency, the monitor(s) will conduct an entrance interview with the appropriate agency personnel to explain the purpose of the visit, records and information needed, and the planned timeframe of the visit. An exit interview will be tentatively scheduled with the Weatherization Coordinator and all other staff of the subgrantee. The Weatherization Coordinator must be available at all times during the monitoring visit.
3. DLIR-OCS will conduct the following inspections on:
 - i. At least 10 percent of the units reported as completed will have an on-site monitoring inspection;
 - ii. At least 10 percent of the units reported as completed will have files reviewed;
 - iii. Spot checks will be made by the Program Specialist of the material on hand at the subgrantees' storage as well as materials already installed; and
4. DLIR-OCS will conduct an exit interview with the Weatherization Coordinator and all other staff of the subgrantee as DLIR-OCS considers appropriate on the basis of the information received during the monitoring inspection. The exit interview will include a review of the monitoring analysis.
5. Each monitoring inspection will be documented by a report prepared by DLIR-OCS's monitoring staff. DLIR-OCS will send a copy of the report to the subgrantee. The monitoring report will identify any corrective action that needs to be taken, and it will also identify each unit visited or inspected by DLIR-OCS. DLIR-OCS will prepare the monitoring report within 30 days after the conclusion of the monitoring visit. If a monitoring report identifies matters for which DLIR-OCS believes that corrective action must be taken, the subgrantee shall respond fully within 30 days after receiving the report.
6. Action for removal of a subgrantee from the program: If DLIR-OCS determines, in its sole discretion, that the provider has failed to provide the required services adequately or satisfactorily, the contract between DLIR-OCS and the provider will be terminated.

Termination under this section will be made by a written notice sent to the provider ten working days prior to the termination date. The decision of DLIR-OCS to terminate the contract shall be final and not reviewable by any court or other decision-making body. The provider shall cooperate with the state to effect an orderly transition of services to clients.

V.8.4 Training and Technical Assistance Approach and Activities

The management of the weatherization program at the local level requires expertise in a wide array of areas including construction management, fiscal policy, client education, staff motivation, energy transfer theory, materials science, installation techniques, and related issues. In addition, weatherization agencies must

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operate their programs in accordance with a variety of governmental regulations and policies. Therefore, DLIR-OCS's approach to T&TA activities includes training at the grantee and subgrantee level. T&TA needs are assessed through on-site visits, email requests, detailed evaluation from regional training sessions, and any annual program reports.

A portion of the T&TA funds are distributed to local agencies to use for their particular weatherization-related training needs, such as workshops targeting best practices for weatherization personnel, weatherization specific conferences, and the 10-hour Hawaii Occupational Safety and Health Administration certification class.

Grantee & subgrantee T&TA:

In PY15, a portion of the T&TA funds were used to host a conference and fly trainers from National Association for State Community Services Programs (NASCSPP) and Community Action Partnership (CAP) to Hawaii. The attendees included the grantee, subgrantees, and potential subgrantees and covered fiscal management, monitoring, new and upcoming changes to WAP, and the roles and responsibilities of the DOE, the grantee, and subgrantee. The NASCSPP representative then sat down with the grantee to go over and review current policies and procedures, making suggestions for improvement and informing us of changes that needed to be made. Given the opportunity and positive response, Hawaii will continue to explore similar opportunities using T&TA funds.

V.9 Energy Crisis and Disaster Plan

The State of Hawaii's Energy Crisis Plan can be found here (<http://files.hawaii.gov/dbedt/op/docs/Energy.pdf>)

Hawaii has the Hawai'i Emergency Management Agency that coordinates services during disasters, issues disaster warnings, and educates the community about disaster preparedness (<http://scd.hawaii.gov/index.htm>).