

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

<b>1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		<b>2. Type of Application:</b> <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision		<b>If Revision, select appropriate letter(s)</b>  <b>Other (specify):</b>	
<b>3. Date Received</b> 04/18/2018		<b>4. Applicant Identifier:</b>			
<b>5a. Fed Entity Identifier:</b>		<b>5b. Federal Award Identifier:</b> DE-EE0007915			
<b>State Use Only:</b>					
<b>6. Date Received by State:</b>		<b>7. State Application Identifier:</b>			
<b>8. APPLICANT INFORMATION:</b>					
<b>a. Legal Name:</b> Office of Community Services, Dept of Labor & Industrial Rels, State of Hawaii					
<b>b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 990266120			<b>c. Organizational DUNS:</b> 949978845		
<b>d. Address:</b>					
Street 1: 830 Punchbowl Street, Rm. 420 Street 2: City: City and County of Honolulu County: HONOLULU County State: HI Province: Country: U.S.A. Zip / Postal Code: 968135095					
<b>e. Organizational Unit:</b>					
<b>Department Name:</b> Department of Labor and Industrial Relations			<b>Division Name:</b> Office of Community Services		
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>					
Prefix: Ms First Name: Denise Middle Name: Last Name: Iseri-Matsubara Suffix:					
Title: Executive Director					
Organizational Affiliation: Hawaii Office of Community Services					
Telephone Number: 8085868678			Fax Number: 8085868685		
Email: Denise.Iseri-Matsubara@hawaii.gov					

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government

**10. Name of Federal Agency:**

U. S. Department of Energy

**11. Catalog of Federal Domestic Assistance Number:**

81.042

CFDA Title:

Weatherization Assistance Program

**12. Funding Opportunity Number:**

DE-WAP-0002019

Title:

2019 Weatherization Assistance Program

**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: 07/01/2019

b. End Date: 06/30/2020

**18. Estimated Funding (\$):**

a. Federal	257,473.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	257,473.00

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

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

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

No

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

☒ I AGREE

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

**Authorized Representative:**

Prefix: Ms First Name: Denise

Middle Name:

Last Name: Iseri-Matsubara

Suffix:

Title: Executive Director

Telephone Number: 8085868678

Fax Number: 8085868685

Email: Denise.Iseri-Matsubara@hawaii.gov

Signature of Authorized Representative: Signed Electronically

Date Signed: 09/10/2019

Authorized for Local Reproduction

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0007915		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Office of Community Services, Dept of Labor & Industrial Rels, State 830 Punchbowl Street, Rm. 420 City and County of Honolulu, HI 968135095	4. Program/Project Start Date 07/01/2019		
	5. Completion Date 06/30/2020		

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Award	81.042	\$ 0.00		\$ 257,473.00		\$ 257,473.00
2. Carryover			\$ 94,893.00		\$ 0.00	\$ 94,893.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 94,893.00	\$ 257,473.00	\$ 0.00	\$ 352,366.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 12,874.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 12,874.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
c. Travel	\$ 0.00	\$ 0.00	\$ 10,000.00	\$ 0.00	\$ 10,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 0.00	\$ 24,460.00	\$ 0.00	\$ 23,500.00	\$ 329,492.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 12,874.00	\$ 24,460.00	\$ 10,000.00	\$ 23,500.00	\$ 352,366.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 12,874.00	\$ 24,460.00	\$ 10,000.00	\$ 23,500.00	\$ 352,366.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0007915		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Office of Community Services, Dept of Labor & Industrial Rels, State 830 Punchbowl Street, Rm. 420 City and County of Honolulu, HI 968135095	4. Program/Project Start Date 07/01/2019		
	5. Completion Date 06/30/2020		

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 94,893.00	\$ 257,473.00	\$ 0.00	\$ 352,366.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 12,874.00
b. Fringe Benefits	\$ 0.00				\$ 0.00
c. Travel	\$ 0.00				\$ 10,000.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 0.00
f. Contract	\$ 281,532.00				\$ 329,492.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 0.00
i. Total Direct Charges	\$ 281,532.00				\$ 352,366.00
j. Indirect Costs	\$ 0.00				\$ 0.00
k. Totals	\$ 281,532.00				\$ 352,366.00
7. Program Income	\$ 0.00				\$ 0.00

# U.S. DEPARTMENT OF ENERGY



## BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: Office of Community Services, Dept of Labor & Industrial Rels, State of Hawaii

Budget period: 07/01/2019 - 06/30/2020

Award number: EE0007915

### 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
Program Specialist	Project Administration Program Support (The maximum allowed administration cost on the PY 2019 grant is \$12,874.00. OCS Program Specialist earns a salary of \$47,000.00. Since 37.5% of \$47,000 is more than \$100.00 over the maximum administration cost of \$12,874, the OCS Program Specialist input the amount that would allow PAGE to submit.)

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
Program Specialist	\$34,330.67	37.5000 % FT	\$12,874.00
		Direct Pay Total	\$12,874.00

### 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.

Administrative allotment is exhausted by limit placed on salary amount allowed under WAP.

- 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.

### 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 issued WAP Memorandum 026, which authorized and encouraged the use of T&TA funds to attend the National Association for State community Service Programs (NASCS). Therefore, DLIR-OCS is budgeting for airfare, transportation, hotel, and per diem to attend NASCS's annual conference in September 2019 and NASCS's winter conference in February 2020.	2	\$4,400.00	\$8,800.00
DLIR-OCS is budgeting for airfare, rental car, parking, and per diem to monitor the three providers that are not located on the island of Oahu, OCS-DLIR's home base.	3	\$400.00	\$1,200.00

Travel Total	\$10,000.00
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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 \$4,400 for travel to conferences. The estimated costs are based on a combination of previous training and travel costs for the past two years and on current airline, lodging and rental car quotes. DLIR-OCS is estimating \$1,200 for travel to the neighbor islands to conduct monitoring activities. The estimated costs are based on a combination of previous monitoring and travel expenses 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 IV.1).

Name of Proposed Sub	Total Cost	Basis of Cost*
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Subgrantee Administrative	\$24,460.00	New award is less than \$350,000 so subgrantees can be allocated up to 10% of new award for administrative costs. Allocation for subgrantees are based on carryover as of June 2019 cash requests submitted, and are subject to change. On the basis of this allocation, we expect that Honolulu Community Action Program, Inc. (HCAP) will receive \$14,627.25, Hawaii County Economic Opportunity Council (HCEOC) will receive \$5,479.10, Kauai Economic Opportunity, Inc. (KEO) will receive \$1,320.86, and Maui Economic Opportunity, Inc. (MEO) will receive \$3,033.08 for Administrative costs.
Subgrantee Program Operations	\$281,532.00	Total amount that will be contracted to subgrantees for their program operations budget category and to use for weatherizing of homes. Allocation for subgrantees are based on carryover as of June 2019 cash requests submitted, and are subject to change. On the basis of this allocation, we expect that HCAP will receive \$168,356.29, HCEOC will receive \$63,063.23, KEO will receive \$15,202.74, and MEO will receive \$34,910.00 for Program Operations.
Subgrantee T&TA	\$23,500.00	DLIR-OCS is budgeting for subgrantee to provide Training and Technical Assistance (T&TA) for staff (i.e. attend training conferences, register for online training courses, materials for training pamphlets). Allocation for subgrantees are based on carryover as of June 2019 cash requests submitted, and are subject to change. On the basis of this allocation, we expect that HCAP will receive \$7,000, and HCEOC, KEO, and MEO will receive \$5,500 each for T&TA costs.
Contracts and Subgrants Total	\$329,492.00	

\*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
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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.

## 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:

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

**(Grant Number: EE0007915, State: HI, Program Year: 2019)**

**IV.1 Subgrantees**

Subgrantee (City)	Planned Funds/Units
Hawaii County Economic Opportunity Council (HCEOC) (Hilo)	\$74,042.00 10
Honolulu Community Action Program (Honolulu)	\$189,983.00 25
Kauai Economic Opportunity, Inc. (KEO) (Lihue)	\$22,024.00 3
Maui Economic Opportunity, Inc. (MEO) (Wailuku)	\$43,443.00 6
<b>Total:</b>	<b>\$329,492.00</b> <b>44</b>

**IV.2 WAP Production Schedule**

Weatherization Plans	Units
Total Units (excluding reweatherized)	44
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	44
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	44
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	\$281,532.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	44
H	Average Program Operations Costs per Unit (F divided by G)	\$6,398.45
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,398.45

**IV.3 Energy Savings**

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	44	29.3	1289
Prior Year Estimate	80	N/A	1184 *
Prior Year Actual	36	N/A	0 *
* Energy Savings values were manually entered.			
Method used to calculate savings description:			

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

(Grant Number: EE0007915, State: HI, Program Year: 2019)

**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

Dean Masai	Type of organization: Unit of State Government Contact Name: Dean Masai Phone: 8085873804 Email: <a href="mailto:dmasai@dbedt.hawaii.gov">dmasai@dbedt.hawaii.gov</a>
Elisa Furtado-Fischer	Type of organization: Unit of State Government Contact Name: Elisa Furtado-Fischer Phone: 8085865727 Email: <a href="mailto:EFurtado-Fischer@dhs.hawaii.gov">EFurtado-Fischer@dhs.hawaii.gov</a>

**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
05/02/2019	Notices for the public hearing on the State Plan shall also be published in the same five newspapers: 1) City and County of Honolulu - Star Advertiser 2) Hawaii County - West Hawaii Today and Hawaii Tribune Herald 3) Maui County - Maui News 4) Kauai County - The Garden Island.
08/30/2019	Notices for the second public hearing on the PY19 State Plan shall also be published in the same five newspapers: 1) City and County of Honolulu - Star Advertiser 2) Hawaii County - West Hawaii Today and Hawaii Tribune Herald 3) Maui County - Maui News 4) Kauai County - The Garden Island.

**IV.7 Miscellaneous**

Business Contact:

Name: Denise Iseri-Matsubara

E-mail: [Denise.Iseri-Matsubara@hawaii.gov](mailto:Denise.Iseri-Matsubara@hawaii.gov)

Phone #: (808)586-8678

Principal Investigator:

Name: Jovanie Dela Cruz

E-mail: [jovanie.d.delacruz@hawaii.gov](mailto:jovanie.d.delacruz@hawaii.gov)

Phone#: (808)586-8679

**2019 American Customer Satisfaction Index (ACSI) Action Plan**

Based on the results of the ACSI and responses from Subgrantees, the State of Hawaii's Office of Community Services' (OCS) action plan for PY 2019 is to:

- Increase communications with Subgrantees on trainings on a variety of topics relevant to the Subgrantees' specific needs, especially trainings offered through teleconferences and webinars;
- Develop and host a training for the Subgrantees that is specific to the State of Hawaii's WAP program to gain more knowledge on WAP Grant Guidance, weatherization best practices, and what to expect during monitoring visits; and
- Coordinate grant monitoring with Subgrantees by scheduling on-site monitoring visits, informing Subgrantees of documents that will be reviewed using the pre-monitoring checklist, and sending monitoring reports containing relevant feedback and best practices within thirty (30) days after the monitoring visit.

**Procurement Process**

DLIR-OCS issued a Request for Proposal (RFP) in April 2019 in an effort to improve service delivery and utilization of grant funds by proposing to concentrate grant funds in certain counties by rotation. Subsequent to issuing an award for the contract, the U.S. Department of Energy advised DLIR-OCS that services need

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

**(Grant Number: EE0007915, State: HI, Program Year: 2019)**

to be provided on an annual basis in each county. Accordingly, DLIR-OCS determined that it could not proceed with the award that it had made pursuant to the RFP. DLIR-OCS extended current PY 2018 contracts with CAAs until September 30, 2019 and is awaiting a determination from Hawaii State Procurement Office on a request for a procurement exemption to name the CAA in each county as the subgrantee, pursuant to 10 CFR §440.15. OCS reserves the right to explore other procurement options for future program years.

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

**(Grant Number: EE0007915, State: HI, Program Year: 2019)**

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

The program serves households that meet the client eligibility criteria in 10 CFR §440. In general, eligible households are at or below 200 percent of the Federal Poverty Guidelines for Hawaii, as established by the U.S. Department of Health and Human Services, or contain a household member who has received cash assistance payments under Title IV or XVI of the Social Security Act during the 12-month period preceding the determination of eligibility.

DLIR-OCS is working with Hawaii Public Housing Authority (HPHA) and the four subgrantees on meeting eligibility requirements. DLIR-OCS is currently working on receiving approval from Department of Housing and Urban Development (HUD) and U.S. Department of Energy (DOE) to weatherize HPHA multifamily buildings.

Describe what household eligibility basis will be used in the Program

The primary goal is to provide weatherization services and reduce energy costs for low-income households in accordance with 10 CFR §440.3, §440.22 and §440.16(b). Priority shall be given to households with elderly persons (over the age of 60), persons with disabilities, families with children (up to age 19), high residential energy users, and households with a high energy burden. HPHA tenants already have to meet strict income eligibility rules set forth by HUD.

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

DLIR-OCS is fully compliant with the requirements of the Qualified Alien Status and Eligibility provisions of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, and DLIR-OCS adheres to the guidance provided by Weatherization Program Notice (WPN) 12-1, part 5.1, effective January 31, 2012. Grantees are directed and encouraged to review guidance provided by Health and Human Services (HHS) under Low-Income Home Energy Assistance Program (LIHEAP). This guidance can be found by going to <https://aspe.hhs.gov/basic-report/summary-immigrant-eligibility-restrictions-under-current-law#sec1>. HHS Information Memorandum LIHEAP-IM-25 dated August 28, 1997, states that all qualified aliens, regardless of when they entered the United States, continue to be eligible to receive assistance and services under LIHEAP if they meet other program requirements. To eliminate any possible contradiction of eligibility for weatherization services at the state and local level for qualified aliens, the definition adopted by HHS will also apply to the DOE WAP. HHS issued Information Memorandum LIHEAP-IM-98-25 dated August 6, 1998, outlining procedures for LIHEAP and weatherization subgrantees serving non-qualified aliens to implement new status verification requirements. To ensure continuity between LIHEAP and WAP for the many subgrantees operating both programs, the DOE WAP will follow the interpretation as adopted by HHS.

**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

Subgrantees have intake, client selection procedures, and unit energy audit procedures to determine the eligibility of the clients and the dwelling units. First, staff follow procedures on how to administer an intake form, which gathers information on family data, annual income, and client needs. An assessment of the dwelling unit will be conducted to ascertain whether the unit meets the criteria for WAP weatherization services. Subgrantees will ascertain whether the energy consumption levels at the dwelling unit appear to be excessive and amenable to remediation by installation of standard Hawaii WAP remediation installations, such as solar hot water heaters and/or energy-efficient refrigerators. Then a Program Coordinator will screen the intake form and determine household eligibility within 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 before the twelve months are up, the household may reapply using only a declaration of income statement. However, applicants who are on the waiting list are subject to the WPN 19-3 requirement that eligibility documentation be updated at least annually.

Eligible buildings must comply with 10 CFR §440.22, such that not less than 66 percent of the dwelling units in the building are income eligible or will become eligible within 180 days. No dwelling unit may be weatherized without verification of income eligibility from either HPHA, the property owner, or the household.

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

**(Grant Number: EE0007915, State: HI, Program Year: 2019)**

Describe Reweathering compliance

Subgrantees are aware that no dwelling unit may be reweatherized if the home was weatherized after September 30, 1994. If a dwelling unit has been previously weatherized, then subgrantees determine if reweatherization shall be given to previously weatherized units, though it is not encouraged. Subgrantees retain new records of all weatherized dwellings for a minimum of three years from the day the grant is closed and keep a list of homes that have been weatherized. The retained records include the date of weatherization and a description of DOE funds and other funds used for weatherization of a particular dwelling.

If a subgrantee wishes to serve homes located in disaster area, they shall abide by DOE guidance, WPN 12-7, which addresses Disaster Planning and Relief. Subgrantees follow the appropriate procedures when initiating reweatherization measures of these dwelling units.

Describe what structures are eligible for weatherization

Weatherization assistance is available for 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

All housing types, including single-family residences and multi-family residences, are potentially eligible to receive WAP services. For multi-family buildings, eligibility is determined by 10 CFR §440.22. With respect to rental housing other than properties of the Hawaii Public Housing Authority (HPHA), each subgrantee must have the property owner to sign Hawaii's Weatherization Assistance Program- Landlord's Cooperation Agreement, attached as Other\_Master\_Landlord Agreement, refraining from evicting the tenant (except for specific good reasons), or from increasing the rent, and otherwise requiring landlord cooperation in supporting the goals of these WAP weatherization installations, in accordance with 10 CFR §440.22 (b)(3). This cooperation agreement also ensures that the rights of tenants and the weatherization investment in rental buildings are protected, and that the benefits of weatherization accrue to the low-income persons the program intends to serve. HPHA is not required to sign a Landlord's Cooperation Agreement because they would not profit from receiving weatherization services. Subgrantees will consult with HPHA to ascertain its schedules of repairs and maintenance, and capital improvements to match weatherization measures with HPHA's scheduled construction and maintenance activities.

References to the specific eligibility of multi-family buildings is addressed in 10 CFR §440.22 (b)(2). "Certain eligible types of large multi-family buildings" are defined as privately owned multi-family buildings. Subgrantees may weatherize "certain eligible types of large multi-family buildings" if all HPHA properties in the county are not eligible to receive weatherization services or the subgrantee is unable to work with the HPHA property manager. Subgrantees must submit a Property Self-Certification form and a Property Occupancy Report to HUD and DOE, in accordance with Weatherization Program Notice 17-4. To weatherize rental dwelling its not within HPHA properties, the subgrantee will ensure that a minimum of 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multi-family buildings) of the dwelling units in the building are occupied by a family that meets the income requirements, in accordance with 10 CFR §440.22(b). To weatherize "certain eligible types of large multi-family buildings," subgrantees must obtain the Landlord and Tenant's signature on the Landlord Cooperation Agreement. Signed copies of this document are provided to both the tenant and the property owner. The document is enforceable by the tenant(s).

Describe the deferral Process

When there are major health, safety, or other circumstances that render the dwelling unit untenable, unsafe, or infeasible for weatherization installation, the subgrantee may decide whether to defer work in a dwelling unit or to not provide weatherization services. The issues that could result in deferral of services include but are not limited to:

- 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; and
- The home is for sale.

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

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

Should deferral be appropriate, the subgrantee provides a written Weatherization Deferral Notice to the clients. 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, attached as Other\_Master\_Field Guide.

**V.1.3 Definition of Children**

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

**V.1.4 Approach to Tribal Organizations**

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

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

Currently, there is no federally recognized tribal organization in the State of Hawaii.

**V.2 Selection of Areas to Be Served**

Weatherization assistance is needed and provided statewide to all four counties: the City and County of Honolulu, Kauai County, Maui County, and Hawaii County. The PY2018 subgrantees will continue to provide services through PY19. If at any time during the program year, a subgrantee is unable to meet WAP requirements, terminates its weatherization contract, or has excess funds, DLIR-OCS has the option of reallocating the funds among the remaining subgrantees.

**V.3 Priorities**

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, in compliance with 10 CFR §440.16 and 10 CFR §440.22. Once a potential client has filled out the intake form, the subgrantee determines eligibility and ranks them on a point system, giving more points on the basis of priorities listed in 10 CFR §440.16.

**V.4 Type of Weatherization Work to Be Done**

**V.4.1 Technical Guides and Materials**

The Hawaii Standard Work Specifications (SWS) Field Guide can provide subgrantees with guidance in addition to the 10 CFR §440 and 2 CFR §200. 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;

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- Energy education;
- Verification of work; and
- Monitoring energy usage and savings.

Installation measures are 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 that applies to single family homes and multi-family buildings with units of four or less (DOE approved on December 19, 2016). The following measures are listed in the order of highest to lowest in terms of cost effectiveness:

- Low-Flow Showerheads;
- Compact Fluorescent Light Bulbs (CFLs) or Light-Emitting Diodes (LEDs);
- Advanced Power Strips;
- Small Room Air Conditioners (6-15,000 Btu/h cooling capacity) Replacement\*;
- Solar Water Heater or Hybrid Heat Pump Water Heater Installation;
- Refrigerator Replacement; and
- Large Room Air Conditioner (18,000 Btu/h cooling capacity) Replacement for Hawaii Island, Kauai, Lanai and Molokai only\*.

\* Air conditioner replacements may only be installed if the occupant is at-risk as defined by documented medical reasons for needing air conditioning. More information can be found in the Health and Safety Plan.

All subgrantee agreements and vendor contracts, active in PY 2017 and beyond, include language that clearly documents the SWS specifications for work quality outlined in WPN 15-4, section 2. A digital copy of the Hawaii Weatherization Field Guide (Field Guide) can be accessed online at <http://labor.hawaii.gov/ocs/service-programs-index/weatherization-assistance-program/>. By signing PY19 WAP contracts with DLIR-OCS, subgrantees acknowledge they received the Field Guide and are held accountable to make sure all weatherization work meets or exceeds the standards set forth in the Field Guide. DLIR-OCS will ensure that subgrantees are providing their contractors with the required information on their expectation of work quality and program guidance by including the following language in their contract:

1. Subgrantee must certify it has informed contractors that work must meet the standards as outlined in the Hawaii Weatherization Field Guide and the Standard Work Specifications. This certification must be done annually and must be signed off by the subgrantee and an authorized employee of the contractor company.
2. All energy audits performed by the subgrantee or it's contractor will meet or exceed the requirements set forth in Weatherization Program Notice 16-8.

During on-site monitoring, DLIR-OCS will ensure that the language and required signatures for the Field Guide are in the subgrantee contractor files. Subgrantees will 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. (See Hawaii Priority List Attachment.)

Field guide types approval dates

Single-Family: 2/26/2016
Manufactured Housing:
Multi-Family:

**V.4.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: Other (specify)
The attached State of Hawaii Priority List, approved on December 19, 2016, serves as an audit procedure for single family homes.
Approval Date: 12/19/2016

Audit Procedure: Manufactured Housing
Audit Name: Other (specify)
N/A in Hawaii
Approval Date:

Audit Procedure: Multi-Family
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Audit Name: Other (specify)

The attached State of Hawaii Priority List, approved on December 19, 2016, serves as an audit procedure for single family homes.

Approval Date:

Comments

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 to determine the efficiency and productivity of the weatherized measures installed in the dwelling.

**V.4.3 Final Inspection**

In accordance with 10 §CFR 440.21, to complete installation of weatherization services for a dwelling, the subgrantee or its authorized representative conducts 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 and geographical location, Hawaii has an exemption for Certified Quality Control Inspectors (QCI). Therefore, 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 Hawaii SWS Field Guide aligns with WPN 15-4 section 3, which governs the quality control inspection process and outlines disciplinary actions for inadequate inspection practices. The inspector conducts a final inspection of all weatherized dwellings, which includes 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 does not meet standards; and
- Verify that all required paperwork, with required signatures, is in the client file.

**V.5 Weatherization Analysis of Effectiveness**

The effectiveness of the subgrantee's weatherization work is assessed using monthly program reports that reflect the targeted number of outcomes 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 DLIR-OCS with a more detailed account of what the subgrantee did within the month.

Through the monthly report, the Program Specialist is able to see the variance between the targeted outcomes and the current outcomes per provider. This allows the Program Specialist to have a high level of awareness of the progression of each subgrantee towards meeting their contracted outcomes and effectiveness.

**V.6 Health and Safety**

(See Health and Safety Attachment)

**V.7 Program Management**

**V.7.1 Overview and Organization**

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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 to assist Hawaii's low-income, immigrant, and refugee populations to overcome and alleviate 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 Street, Room 420, Honolulu, Hawaii 96813, telephone (808) 586-8675, fax (808) 586-8685.

#### **V.7.2 Administrative Expenditure Limits**

The funding allocated to the State of Hawaii for WAP for PY 2019 is under \$350,000. Therefore, the State may allocate 10 percent of the total award for administrative costs, five percent to itself and five percent to the subgrantees as a whole.

#### **V.7.3 Monitoring Activities**

DLIR-OCS goals for monitoring WAP activities include:

1. Analyzing service delivery, program performance, and quality and effectiveness of the work on completed dwelling units.
2. Determining program compliance and accountability.
3. Identifying problems, deficiencies, and areas for program improvement.
4. Assisting agencies in their program operations and compliance with DOE and State regulations.
5. Advising agencies on how to correct any weaknesses and deficiencies.
6. Assessing the need for training and technical assistance to improve local agency service delivery, cost-effectiveness, and accountability.
7. Assessing how agencies, contractors, and anyone installing weatherization measures abide by the standards and technical requirements as stated in the updated Hawaii Weatherization Field Guide provided on the DLIR-OCS website: <http://labor.hawaii.gov/ocs/service-programs-index/weatherization-assistance-program/>.
8. 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 monitors and evaluates the operations of projects carried out by subgrantees by performing periodic monitoring reviews of the fiscal, programmatic, and field functions of local weatherization agencies through:

1. Desktop monitoring: The DLIR-OCS Program Specialist will review and track all available subgrantee reports for progress, expenditures, timeliness, audit findings, and resolution of findings.
2. Subgrantee Agency On-site Monitoring Visits: Each subgrantee receives at least one field visit per year. Additional visits are scheduled as needed to address specific subgrantee issues as they arise. Included in these visits are:
  - Fiscal Monitoring:
    - i. Review of financial records;
    - ii. Review of purchasing and bidding practices;
    - iii. Review of payroll and documentation;
    - iv. Review of travel records;
    - v. Review of vendor payments; and
    - vi. Reviews last fiscal audit.
  - Field Monitoring
    - i. Client files;
    - ii. Weatherization materials, tool, equipment, and inventory;
    - iii. Client scheduling practices;

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- iv. Safety policies and practices; and
- v. Ten percent of all weatherized units.

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 the WAP staff of the subgrantee. The Weatherization Coordinator must be available at all times during the monitoring visit.
3. DLIR-OCS will conduct 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 after monitoring that a subgrantee is materially failing to provide services in accordance with its contract with DLIR-OCS, DLIR-OCS may initiate proceedings to terminate financial assistance to that subgrantee pursuant to 10 CFR §440.15 (e) and §440.30.

**V.7.4 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, energy transfer theory, materials science, installation techniques, and related issues. In addition, weatherization agencies must 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 monthly 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, and weatherization specific conferences.

OCS plans to utilize T&TA funds to attend the National Association for State Community Services Programs (NASCSPP) annual conference in Little Rock, Arkansas in September 2019, which contains a WAP workshop.

Grantee & Subgrantee T&TA:

In PY 2018, a portion of the T&TA funds were used to pay NASCSPP membership dues. Through the NASCSPP membership, OCS staff gain ongoing guidance, webinars, and direct T&TA from NASCSPP staff. OCS spent the remaining grantee T&TA funds to conduct monitoring visits and to fly four NASCSPP trainers to Oahu to conduct training for all providers who administer WAP. The training consisted of WAP Grant Guidance, strategizing how to spend down WAP funds and improve production, and program manager training.

A portion of PY 2019 T&TA funds will be used for OCS's WAP Specialist to attend NASCSPP's annual conference in September 2019, NASCSPP's winter conference in February 2020, and the Energy OutWest Conference that is held every other year. These trainings will provide OCS staff with the opportunity to continue developing an understanding of the technical standards. OCS will spend the remaining grantee T&TA funds, not including funds needed to conduct monitoring visits, to contract with NASCSPP to conduct training for all providers who administer WAP services. Each subgrantee's T&TA funds are intended for WAP staff to attend comprehensive and specific trainings offered by Energy OutWest, NASCSPP, and Building Performance Association.

Percent of overall trainings

Comprehensive Trainings: 0.0

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Specific Trainings:

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

**V.8 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>).