

## 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. Federal Entity Identifier:

5b. Federal Award Identifier:

DE-EE0009901

## State Use Only:

6. Date Received by State: 12/16/2020

7. State Application Identifier:

## 8. APPLICANT INFORMATION:

a. Legal Name: State of Indiana, IHEDA

b. Employer/Taxpayer Identification Number (EIN/TIN):  
351485172c. UEI:  
PW8WAKF1KWG9

## d. Address:

Street 1: 30 South Meridian Street

Street 2: Suite 900

City: Indianapolis

County: MARION County

State: IN

Province:

Country: U.S.A.

Zip / Postal Code: 462040000

## e. Organizational Unit:

Department Name:

Weatherization

Division Name:

Community Programs

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

Prefix: Mr First Name: Greg

Middle Name:

Last Name: Glassley

Suffix:

Title: Director of Energy and Utility Programs

Organizational Affiliation: Indiana Housing &amp; Community Development Authority

Telephone Number: 3172323075

Fax Number: 3172327778

Email: qglassley@ihcda.in.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-0002024

Title:

2024 Weatherization Assistance Program (WAP)

**13. Competition Identification Number:**

Title:

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

Statewide

**15. Descriptive Title of Applicant's Project:**

Indiana's Program Year 2024 Weatherization Assistance Program

## APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

**16. Congressional District Of:**

a. Applicant: Indiana Congressional District 07

b. Program/Project: IN-Statewide

**Attach an additional list of Program/Project Congressional Districts if needed:****17. Proposed Project:**

a. Start Date: 04/01/2024

b. End Date: 03/31/2025

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

a. Federal	9,649,777.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	9,649,777.00

**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: Emily

Middle Name:

Last Name: Krauser

Suffix:

Title: Chief Deputy Director of Programs

Telephone Number: 3172346977

Fax Number: 3172327778

Email: ekrauser@ihcda.in.gov

Signature of Authorized Representative: Signed Electronically

Date Signed: 03/04/2024

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009901		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Indiana, IHCDA 30 South Meridian Street Indianapolis, IN 462040000		4. Program/Project Start Date 04/01/2024	5. Completion Date 03/31/2025

**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. Federal	81.042	\$ 5,147,483.00		\$ 9,649,777.00		\$ 14,797,260.00
2.						
3.						
4.						
5. TOTAL		\$ 5,147,483.00	\$ 0.00	\$ 9,649,777.00	\$ 0.00	\$ 14,797,260.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATI ON	(2) SUBGRANTEE ADMINISTRATI ON	(3) GRANTEE T&TA	(4) PROGRAM OPERATIONS	
a. Personnel	\$ 179,393.00	\$ 0.00	\$ 27,567.00	\$ 0.00	\$ 206,960.00
b. Fringe Benefits	\$ 61,705.00	\$ 0.00	\$ 12,567.00	\$ 0.00	\$ 74,272.00
c. Travel	\$ 0.00	\$ 0.00	\$ 49,600.00	\$ 0.00	\$ 49,600.00
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	\$ 1,479,725.00	\$ 1,206,116.00	\$ 7,887,708.00	\$ 14,173,772.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 241,391.00	\$ 0.00	\$ 51,265.00	\$ 0.00	\$ 292,656.00
i. Total Direct Charges	\$ 482,489.00	\$ 1,479,725.00	\$ 1,347,115.00	\$ 7,887,708.00	\$ 14,797,260.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 482,489.00	\$ 1,479,725.00	\$ 1,347,115.00	\$ 7,887,708.00	\$ 14,797,260.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009901	2. Program/Project Title Weatherization Assistance Program		
3. Name and Address State of Indiana, IHCDA 30 South Meridian Street Indianapolis, IN 462040000	4. Program/Project Start Date	04/01/2024	
	5. Completion Date	03/31/2025	

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		\$ 5,147,483.00	\$ 0.00	\$ 9,649,777.00	\$ 0.00	\$ 14,797,260.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1) LIABILITY INSURANCE	(2) HEALTH AND SAFETY	(3) FINANCIAL AUDITS	(4) SUBGRANTEE T&TA		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 206,960.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 74,272.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 49,600.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 233,801.00	\$ 1,971,927.00	\$ 116,901.00	\$ 313,685.00		\$ 14,173,772.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 292,656.00
i. Total Direct Charges	\$ 233,801.00	\$ 1,971,927.00	\$ 116,901.00	\$ 313,685.00		\$ 14,797,260.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 233,801.00	\$ 1,971,927.00	\$ 116,901.00	\$ 313,685.00		\$ 14,797,260.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0009901		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Indiana, IHCDA 30 South Meridian Street Indianapolis, IN 462040000		4. Program/Project Start Date 04/01/2024	5. Completion Date 03/31/2025

**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		\$ 5,147,483.00	\$ 0.00	\$ 9,649,777.00	\$ 0.00	\$ 14,797,260.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Weatherization Readiness	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 206,960.00
b. Fringe Benefits	\$ 0.00				\$ 74,272.00
c. Travel	\$ 0.00				\$ 49,600.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 0.00
f. Contract	\$ 963,909.00				\$ 14,173,772.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 292,656.00
i. Total Direct Charges	\$ 963,909.00				\$ 14,797,260.00
j. Indirect Costs	\$ 0.00				\$ 0.00
k. Totals	\$ 963,909.00				\$ 14,797,260.00
7. Program Income	\$ 0.00				\$ 0.00

**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
BUDGET INFORMATION REMARKS  
**Grant Number:** EE0009901, **State:** IN  
**Recipient:** State of Indiana, IHCDA

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**Remarks**

Rough Draft based on 2023 Allocations. Will revise once 2024 Allocation is released. **Below is comments based on 2024 Allocations:**

**Carryover**

Please see the attachment Item 25 - Carryover Budget in the SF-424 Application section.

**Personnel**

IHCDA uses non-DOE funds in the in payment of personnel along with DOE funds. These funds are not included in this Budget or in the DOE reports.

**Financial Audits**

In accordance with 2 CFR 200.425(a)(2), only those Sub-grantees expending more than \$750k in total Federal Funding annually will receive FINANCIAL AUDITS funding identified in the Grantee's SF-424A Budget.

**U.S. DEPARTMENT OF ENERGY**



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: State of Indiana, IHEDA  
Award number: EE0009901

Budget period: 04/01/2024 - 03/31/2025

**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:

<u>Position</u>	<u>Description of Duties of Professionals</u>
Accounting- Clerical	Handles all accounts receivable and accounts payable for the program.
Accounting- Management	Handles all controller duties, A-133 audits, and other high-level accounting tasks.
Legal	Reviews and approves sub-grantees and professional services contracts; reviews requests for proposal documents; oversee information requests; handles all legal work for weatherization department
Public Relations/Marketing/Legislative Work	Handles all media inquiries; produces necessary marketing materials; answers constituent inquiries received from legislative staff or directs to weatherization staff as necessary
Director of Community Programs	Oversee the activities of the Community Program's staff. Responsible for approving allocation of funds to sub-grantees, ensuring contracts are executed in a timely manner. Facilitates partnerships with community based and consumer based entities to further and broaden the reach of the weatherization program.
Analyst I	Responsible for budget allocations, contract distribution and desktop compliance. Also, provides T&TA to sub-grantees, primary point of contact for T&TA contract, provides policy recommendations, assists in updating Field Guide, and Policy and Procedures Manual.
Analyst II	Responsible for budget allocations, contract distribution and desktop compliance.
Claims Specialist	Responsible for reviewing and processing claims.
Program Manager	Responsible for overall operations of the weatherization program; liaises with technical staff, oversees monitoring process and reporting; submits all required reports; responsible for approving sub-grantee allocations.
Chief Deputy Director	Oversee the activities of the Community Program's staff. Responsible for approving allocation of funds to sub-grantees, ensuring contracts are executed in a timely manner. Facilitates partnerships with community based and consumer based entities to further and broaden the reach of the weatherization program.

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Accounting- Clerical	\$25.00	149.4700 hours	\$3,736.75
Accounting- Management	\$37.00	149.6300 hours	\$5,536.31
Legal	\$32.00	299.5800 hours	\$9,586.56
Public Relations/Marketing/Legislative Work	\$35.00	84.6100 hours	\$2,961.35
Director of Community Programs	\$70,000.00	36.9897 % FT	\$25,892.79
Analyst I	\$55,000.00	79.9738 % FT	\$43,985.59
Analyst II	\$48,000.00	79.9719 % FT	\$38,386.51
Claims Specialist	\$40,226.00	47.9664 % FT	\$19,294.96



Program Manager	\$57,000.00	79.9759 % FT	\$45,586.26
Chief Deputy Director	\$80,000.00	14.9910 % FT	\$11,992.80
		Direct Pay Total	\$206,959.88

**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.

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 rates are not approved by a Federal Agency, but cost rates are approved by the State Budget Agency and the General Assembly. Fringe benefits include FICA, retirement, health/dental/vision insurance, and short/long term disability. Benefits vary per person due to each employee selection of health care plans, etc. Amounts are based on fringe expenditure history per individual. The 2019 fringe benefits rate of 45.64% with the average percentage breakdown as follows: 22.38% Health/Dental/Vision Insurance; 14.1% Retirement; 7.42% FICA; 1.21% Short and Long Term Disability; .13%Basic life insurance; .41% deferred comp

Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Accounting- Clerical	\$3,736.75	35.8290 %	\$1,338.84
Accounting- Management	\$5,536.31	35.8521 %	\$1,984.88
Legal	\$9,586.56	35.8723 %	\$3,438.92
Public Relations/Marketing/Legislative Work	\$2,961.35	35.8101 %	\$1,060.46
Director of Community Programs	\$25,892.79	35.8897 %	\$9,292.84
Analyst I	\$43,985.59	35.8939 %	\$15,788.14
Analyst II	\$38,386.51	35.8931 %	\$13,778.11
Claims Specialist	\$19,294.96	35.8862 %	\$6,924.23
Program Manager	\$45,586.26	35.8942 %	\$16,362.82
Chief Deputy Director	\$11,992.80	35.8779 %	\$4,302.76
		Fringe Benefits Total	\$74,272.00

**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.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
On-site visits with sub-grantees	24	\$400.00	\$9,600.00
Travel as needed	40	\$1,000.00	\$40,000.00
		Travel Total	\$49,600.00

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.

Computation of travel is based on past trips of similar nature. Costs for the Regional meetings are based on projected cost of airline tickets, hotel costs, days of per-diem, and number of people attending the meetings.

The State pays \$.47 for mileage when personal vehicles are used, approx. \$35 for a car rental per day, meals at actual cost per day, approx. \$100 per night for in State lodging, and actual lodging costs for out of State lodging.

**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
------------------	------	-----------------------

- 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*
INCAA (Training)	\$735,016.00	The Indiana Community Action Association [INCAA] is Indiana's IREC accredited training center. IHADA utilizes INCAA to provide the Weatherization training for Indiana's Weatherization Network resulting in a good percentage of Indiana's T&TA funds being utilized within this contract. Section II.6. Research and Development for updating WX forms, reviewing field guide updates, researching training needs, etc. In addition to the above mentioned activity, INCAA will continue to offer, on an as needed basis, the regular courses as detailed in the T&TA Section of the Master File of this State Plan submission. Work with IHADA staff to develop and implement corrective action plans specific to each agency on a Quality Improvement Plan.

Streamlined Solutions (Program Monitor)	\$90,000.00	IHCDA contracts an expert to complete program monitoring for the Weatherization program.
Contract Ad Hoc T&TA	\$50,000.00	Provide T/TA as needed for contractors and state staff.
Hutson Homes (Program Monitor + WX, SME, T&TA)	\$145,000.00	IHCDA contracts an expert to complete program monitoring for the Weatherization program. She also provides T/TA to IHCDA and to subgrantees regarding technical issues.
Dolhoff (Energy Savings Study)	\$50,000.00	IHCDA will contract with a researcher to study energy savings across IN as a result of the Weatherization program
Inspector Inc (Technical Monitor)	\$87,000.00	Contract a technical monitor to complete monitoring during the DOE 2023-2024 funding cycle.
Roeing (Database Hosting)	\$49,100.00	IHCDA has a contract in place with Roeing for the IWAP database.
Sub-grantee Contracts	\$12,737,971.00	2024 sub-grantee formula based grant and carryover allocation amounts. Refer to the allocation table provided in the annual file for each sub-grantee award amount. Section II.3. Includes Admin, Liability Insurance, Fiscal Audits, Base Operations, Health & Safety, T&TA, and Readiness. Subgrantees will be allotted an additional dollar amount per grant cycle for the purpose of providing Training and Technical Assistance for sub-grantee staff and contractors interested in performing weatherization work for the sub-grantee. These funds may be used to cover only those expenses related to weatherization training. Upon request, sub-grantees may access additional TTA funding.
Sub-grantee Ad Hoc T&TA	\$229,685.00	Provide T/TA as needed for sub-grantees.
Contracts and Subgrants Total	\$14,173,772.00	

\*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.

<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
Office Supplies	\$438.00	Based on space used and a percentage of IHCDA Personnel
Other IHCDA Admin Supplies (F&F)	\$4,533.00	Additional resources
Software & Hardware	\$23,445.00	Based on space used and a percentage of IHCDA Personnel
Rent	\$27,309.00	Based on space used and a percentage of IHCDA Personnel
Accounting	\$10,628.00	accounting costs such as audits, advice, software
Indiana Office of Technology	\$2,032.00	Based on space used and a percentage of IHCDA Personnel
NASCSP Membership Dues	\$3,500.00	Annual dues to NASCSP which allows access to the multitude of NASCSP resources
Unallocated grantee admin	\$173,006.00	Allowed admin not allocated in staff time

SAMMs	\$3,165.00	Hold two trainings for Weatherization Managers on topics of IHEDA's choice
Subgrantee TTA Upon Req	\$0.00	Set aside for subgrantees who have requests and will utilize additional T/TA funds to train staff and contractors.
Conference - NASCSP Winter	\$12,400.00	Register & attend Conference (4 people)
Conference - Energy Out West	\$5,900.00	Register and attend conference (2 people)
Conference - NASCSP Fall	\$12,400.00	Register & attend Conference (4 people)
Staff Management Training	\$5,000.00	We will have a relatively new team that may need management, leadership, organizational, and other types of training to continue to enhance skills in areas of opportunity for improvement.
HPC Conference	\$5,900.00	Register & attend conference (2 people)
State Association Conference	\$3,000.00	Register and attend (3 people)
	\$292,656.00	
Other Direct Costs Total		

- 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.

All costs proposed are only being used in support of the WAP.

#### 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.

Indiana uses direct cost allocation; therefore all admin costs are listed in direct funding for the program.

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: EE0009901, State: IN, Program Year: 2024**  
**Recipient: State of Indiana, IHCD**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Area IV Agency on Aging and Community Services, Inc. (Lafayette)	\$584,505.00 44
Community Action of Greater Indianapolis, Inc. (Indianapolis)	\$1,926,401.00 142
Community Action of Northeast Indiana, Inc. (Fort Wayne)	\$1,286,270.00 97
Community Action of Southern Indiana (Jeffersonville)	\$444,857.00 34
Community Action Program of Evansville and (Evansville)	\$515,475.00 39
Community Action Program, Inc. of Western Indiana (Covington)	\$390,899.00 30
Hoosier Uplands Economic Development Corporation (Mitchell)	\$343,033.00 26
Interlocal Community Action Program, Inc. (New Castle)	\$1,112,234.00 83
JobSource (Anderson)	\$639,046.00 48
Lincoln Hills Development Corporation (Tell City)	\$250,544.00 19
North Central Community Action Agency, Inc. (Michigan City)	\$758,437.00 57
Northwest Indiana Community Action Program (Crown Point)	\$855,329.00 64
Ohio Valley Opportunities, Inc. (Madison)	\$550,238.00 41
Pace Community Action Agency (Vincennes)	\$377,611.00 29
REAL Services, Inc. (South Bend)	\$1,043,518.00 78
South Central Community Action Agency (SCCAP) (Bloomington)	\$552,037.00 42
Southeastern Indiana Economic Opportunity Corporation (Aurora)	\$379,771.00 29
State of Indiana, IHCD (Indianapolis)	\$229,685.00 0
Tri-CAP (Dubois-Pike-Warrick) Economic Opp. Comm. Inc. (Jasper)	\$288,361.00 22
Western Indiana Community Action Agency, Inc. (Brazil)	\$439,405.00 33
<b>Total:</b>	<b>\$12,967,656.00</b> <b>957</b>

**IV.2 WAP Production Schedule**

Weatherization Plans	Units
Total Units (excluding reweatherized)	957

**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
**WEATHERIZATION ANNUAL FILE WORKSHEET**  
**Grant Number: EE0009901, State: IN, Program Year: 2024**  
**Recipient: State of Indiana, IHEDA**

Reweatherized Units	0
Average Unit Costs, Units subject to DOE Project Rules	
<b>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>	
A Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B Total Units Weatherized	957
C Total Units Reweatherized	0
D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	957
E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<b>AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>	
F Total Funds for Program Operations	\$7,887,708.00
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	957
H Average Program Operations Costs per Unit (F divided by G)	\$8,242.12
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$8,242.12

**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	957	29.3	28040
	Prior Year Estimate	564	29.3	16525
	Prior Year Actual	120	29.3	3516
<b>Method used to calculate savings description:</b>				

**IV.4 DOE-Funded Leveraging Activities**

At this time we do not set aside DOE funds for a leveraging program.

However, sub-grantees routinely leverage their funds against other programs and utility funds in order to weatherize more homes.

Indiana reports units weatherized using DOE guidelines and priority measures--including homes utilizing a combination of DOE, LIHEAP, and utility funds on the Quarterly Production Report.

**IV.5 Policy Advisory Council Members**

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

CLEARResults	Type of organization: Utility Contact Name: Michelle L Bennett Phone: 8122979720 Email: <a href="mailto:michelle.bennett@clearResult.com">michelle.bennett@clearResult.com</a>
Department of Workforce Development	Type of organization: Unit of State Government Contact Name: Meguschar, Elizabeth Phone: 3172323088 Email: <a href="mailto:EMeguschar@dwd.IN.gov">EMeguschar@dwd.IN.gov</a>
Duke Energy	Type of organization: Utility Contact Name: Heather Klein Phone: 8594688242 Email: <a href="mailto:Heather.Klein@duke-energy.com">Heather.Klein@duke-energy.com</a>
	Type of organization: Non-profit (not a financial institution)

**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
**WEATHERIZATION ANNUAL FILE WORKSHEET**  
**Grant Number: EE0009901, State: IN, Program Year: 2024**  
**Recipient: State of Indiana, IHCDA**

Indiana Community Action Association	Contact Name: Chris Willman Phone: 3176384232 Email: <a href="mailto:cwillman@incap.org">cwillman@incap.org</a>
Indiana Department of Health	Type of organization: Unit of State Government Contact Name: Paul Krievins Phone: 3172337197 Email: <a href="mailto:PKrievins@isdh.IN.gov">PKrievins@isdh.IN.gov</a>
Indiana Energy Association	Type of organization: Non-profit (not a financial institution) Contact Name: Mindy Westrick Brown Phone: 3176324406 Email: <a href="mailto:mwestrick@indianaenergy.org">mwestrick@indianaenergy.org</a>
Indiana Family and Social Services Administration	Type of organization: Unit of State Government Contact Name: Rebecca McClaren Phone: 3172348330 Email: <a href="mailto:Rebecca.McClaren@fssa.IN.gov">Rebecca.McClaren@fssa.IN.gov</a>
Indiana Housing and Community Development Authority	Type of organization: Unit of State Government Contact Name: Jeff Zongolowicz Phone: 3173237059 Email: <a href="mailto:JZongolowicz@ihcda.IN.gov">JZongolowicz@ihcda.IN.gov</a>
Ivy Tech	Type of organization: Other Contact Name: Joan Ketterman Phone: 3179175902 Email: <a href="mailto:jketterman4@ivytech.edu">jketterman4@ivytech.edu</a>
Office of Community and Rural Affairs	Type of organization: Unit of State Government Contact Name: Neil Elkins Phone: 3174606177 Email: <a href="mailto:nelkins@ocra.in.gov">nelkins@ocra.in.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
01/10/2024	IHCDA posted notice of the State Plan Public Hearing on the IHCDA website on December 22, 2023. The hearing was held on January 10 and ran for 1 hour. A recording and transcript of the meeting was conducted via Microsoft Teams.

**IV.7 Miscellaneous**

<p><b>NOTE: In terms of units and production this is a rough draft based on 2023 Allocations. Once 2024 Allocations come out we will revise.</b></p> <p>IHCDA as Sub-grantee</p> <p><b>IHCDA is listing ourselves as a sub-grantee as we will be holding back \$229,685.00 for Ad Hoc T&amp;TA. This factors in to the total Sub-grantee allocation.</b></p> <p>Sub-grantee Network for PY 2024</p> <p><b>IHCDA's Sub-grantee Network is made up of 19 agencies. IHCDA has not removed any sub-grantee that was active in PY 2023. IHCDA has not added any new sub-grantees to be active in PY 2024.</b></p> <p>The Recipient Business Officer for IHCDA is: Ms. Kyleen Welling Email: <a href="mailto:kwelling@ihcda.in.gov">kwelling@ihcda.in.gov</a> Phone: 317-234-0934</p> <p>The Recipient Principal Investigator Mr. Greg Glassley Email: <a href="mailto:gglassley@ihcda.in.gov">gglassley@ihcda.in.gov</a> Phone: 317-232-3075</p>
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**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
**WEATHERIZATION ANNUAL FILE WORKSHEET**  
**Grant Number: EE0009901, State: IN, Program Year: 2024**  
**Recipient: State of Indiana, IHCD**

The Policy Advisory Council comes together only for the purpose of reviewing and making recommendations on Indiana's Weatherization State Plan.

The January 2021 Sub-grantee Customer Satisfaction Survey Report noted the following key findings:

All 21 Indiana CAAs participated.

- Most scores were in the “good” or “average” range.
- No section scores were “below average” range.
- The IHCD Community Programs team is taking a deep dive into all of the confidential comments, and will be working to improve as we progress through the year.

Note these results were focused around CSBG rather than Wx, and represent IHCD's performance across all programs.

<b>Indiana ACSI Results</b>		
Distribution of Funds	74	Good
Training & Technical Assistance	74	Good
Monitoring & Corrective Action	73	Good
Linkages	66	Average
Communication	77	Good
Customer Satisfaction Index	73	Good
Confidence in Lead Agency	77	Good
Trust in the CSBG State Lead Agency	77	Good

Indiana has worked with the network over the past several months to address these items; we continue to hold bi-weekly Executive Director meetings to encourage open conversation, and we attend regular listening sessions with Wx managers, as invited.

For the Weatherization Readiness Fund, utilize a formula similar to our current allocation formula to distribute to our sub-grantees. To equitably distribute readiness funds across Indiana’s 20 Weatherization sub-grantees, IHCD will use a modified allocation table that decreases the dollar amount in “base” to \$10,000 per agency to account for the lower dollar amount that will be distributed through this portion of the award. The remaining allocation amount (\$211,078) distributed to agencies utilizes the previously approved Weatherization allocation table. We are working with our PAC and network to best set up our plan.

In order to track these funds, we will use a combination of our current software capabilities and the Weatherization Deferrals Classification Guide created by DOE. We will also utilize benchmarks during the year to ensure all sub-grantees are spending down their allocation. If sub-grantees do not successfully hit their benchmarks, IHCD may choose to de-allocate some of the Readiness dollars and re-allocate to sub-grantees that have spent their funds down. During our regular monitoring process, the monitor will also ensure that these specific funds are being expended as outlined in IHCD's plan.



U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

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<b>Name: Area IV Agency on Aging and Community Services, Inc.</b>		Contact: Dan Overman
Address: 660 N 36th St		UEI: L8VLTCRHVLM1
PO Box 4727		DUNS: 038238325
Lafayette, IN 47905-4474		Phone: (765) 447-7683235
Counties served: TIPPECANOE County		Fax: () -
WHITE County		Email: doverman@areaivagency.org
CARROLL County		Tentative allocation: \$ 584,505.00
CLINTON County		Planned units: 44
Type of organization: Local agency		Congressional districts served: <u>CD</u>
Source of labor: Contractors		IN-04

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<b>Name: Community Action of Greater Indianapolis, Inc.</b>		Contact: Patricia Mays
Address: 3266 N Meridian St		UEI: DGUFLEFN24L1
Ste 300		DUNS: 072069727
Indianapolis, IN 46208-5859		Phone: (317) 524-6844
Counties served: BOONE County		Fax: () -
HAMILTON County		Email: pmays@cagi-in.org
HENDRICKS County		Tentative allocation: \$ 1,926,401.00
MARION County		Planned units: 142
Type of organization: Non-profit organization		Congressional districts served: <u>CD</u>
Source of labor: Contractors		IN-05
		IN-04
		IN-07

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<b>Name: Community Action of Northeast Indiana, Inc.</b>		Contact: Joel Harms
Address: 227 E Washington St		UEI: NN8CLFUP21H7
PO Box 10570		DUNS: 051965374
Fort Wayne, IN 46802-3137		Phone: (260) 423-3546207
Counties served: NOBLE County		Fax: () -
MIAMI County		Email: joelharms@mybrightpoint.org
LAGRANGE County		Tentative allocation: \$ 1,286,270.00
HUNTINGTON County		Planned units: 97
DEKALB County		Type of organization: Non-profit organization
ADAMS County		Congressional districts served: <u>CD</u>
ALLEN County		IN-03
WABASH County		IN-02
WHITLEY County		
WELLS County		
STEUBEN County		
Source of labor: Agency and Contractors		

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U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

<b>Name: Community Action of Southern Indiana</b>		Contact: Greg Miller	
Address: 201 E 15 St		UEI: GJC6TK3KXV34	
Jeffersonville, IN 47130-2913		DUNS: 081015786	
Counties served: HARRISON County		Phone: (812) 288-6451	
FLOYD County		Fax: () -	
CLARK County		Email: gmiller@casi1.org	
Tentative allocation: \$ 444,857.00		Congressional districts served:	<u>CD</u>
Planned units: 34			IN-09
Type of organization: Non-profit organization			
Source of labor: Agency			

<b>Name: Community Action Program of Evansville and</b>		Contact: Candace Gilliam	
Address: 906 Main St Ste 908		UEI: T5RWN1BSZ7H5	
Evansville, IN 47708-1827		DUNS: 095390852	
Counties served: VANDERBURGH County		Phone: (812) 492-3923	
GIBSON County		Fax: () -	
POSEY County		Email: CGilliam@capeevansville.org	
Tentative allocation: \$ 515,475.00		Congressional districts served:	<u>CD</u>
Planned units: 39			IN-08
Type of organization: Non-profit organization			
Source of labor: Agency and Contractors			

<b>Name: Community Action Program, Inc. of Western Indiana</b>		Contact: Terri Poynter	
Address: 418 Washington St		UEI: JMG9E9RDQ7E9	
PO Box 188		DUNS: 087033304	
Covington, IN 47932-1257		Phone: (765) 793-4881	
Counties served: WARREN County		Fax: () -	
VERMILLION County		Email: tpoynter@capwi.org	
PARKE County		Congressional districts served:	<u>CD</u>
MONTGOMERY County			IN-08
BENTON County			IN-04
FOUNTAIN County			
Tentative allocation: \$ 390,899.00			
Planned units: 30			
Type of organization: Non-profit organization			
Source of labor: Agency and Contractors			

<b>Name: Hoosier Uplands Economic Development Corporation</b>		Contact: JR Robling	
Address: 521 W Main St		UEI: K54RMGREA5FN5	
Mitchell, IN 47446-1411		DUNS: 094469582	
Counties served: WARREN County		Phone: (812) 849-4457	
VERMILLION County		Fax: () -	
PARKE County		Email: jrobling@hoosieruplands.org	
MONTGOMERY County			
BENTON County			
FOUNTAIN County			
Tentative allocation: \$ 390,899.00			
Planned units: 30			
Type of organization: Non-profit organization			
Source of labor: Agency and Contractors			

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

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Counties served:	MARTIN County LAWRENCE County ORANGE County WASHINGTON County	Tentative allocation: \$ 343,033.00 Planned units: 26 Type of organization: Non-profit organization Source of labor: Contractors	Congressional districts served:	<u>CD</u> IN-08 IN-09
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Name: **Interlocal Community Action Program, Inc.**

Contact: Holly Lee  
UEI: WJB3MVZM95L3  
DUNS: 040299364  
Phone: (765) 529-4403304  
Fax: () -  
Email: hlee@icapcaa.org

Address: 615 W State Rd 38  
PO Box 449  
New Castle, IN 47362-4914

Counties served:	SHELBY County JAY County JOHNSON County DELAWARE County FAYETTE County HENRY County HANCOCK County BLACKFORD County ADAMS County WAYNE County RANDOLPH County RUSH County	Tentative allocation: \$ 1,112,234.00 Planned units: 83 Type of organization: Non-profit organization Source of labor: Agency and Contractors	Congressional districts served:	<u>CD</u> IN-09 IN-06
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Name: **JobSource**

Contact: Brandon Morris  
UEI: KQJHQ7KA4JQ5  
DUNS: 032289543  
Phone: (765) 656-92765509  
Fax: () -  
Email: Brandon.morris@madisoncounty.in.gov

Address: 3530 Mounds Rd  
Anderson, IN 46016-1582

Counties served:	GRANT County HOWARD County MADISON County TIPTON County	Tentative allocation: \$ 639,046.00 Planned units: 48 Type of organization: Unit of local government Source of labor: Agency and Contractors	Congressional districts served:	<u>CD</u> IN-04 IN-05
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Name: **Lincoln Hills Development Corporation**

Contact: Mike Axton  
UEI: SMHYAV9HYDF6  
DUNS: 020423448  
Phone: (800) 467-1435221  
Fax: () -  
Email: mikeaxton@lhdc.org

Address: 302 Main Street  
PO Box 336  
Tell City, IN 47586-2207

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

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Counties served:	SPENCER County PERRY County CRAWFORD County	Tentative allocation: \$ 250,544.00 Planned units: 19	Congressional districts served:	<u>CD</u> IN-08 IN-09
		Type of organization: Non-profit organization		
		Source of labor: Agency and Contractors		

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Name: **North Central Community Action Agency, Inc.**

Contact: Lee Hoss  
UEI: CCEYTRDL5CL3  
DUNS: 167507763  
Phone: (219) 872-3764  
Fax: () -  
Email: lhoss@nccomact.org

Address: 1702 E Michigan Blvd  
Michigan City, IN 46360-4933

Counties served:	LAPORTE County JASPER County PULASKI County PORTER County NEWTON County CASS County STARKE County	Tentative allocation: \$ 758,437.00 Planned units: 57	Congressional districts served:	<u>CD</u> IN-04 IN-01 IN-02 IN-08
		Type of organization: Non-profit organization		
		Source of labor: Agency and Contractors		

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Name: **Northwest Indiana Community Action Program**

Contact: Jeffrey Jonston  
UEI: LKFFCWXP1LU2  
DUNS: 941561966  
Phone: (219) 286-3308  
Fax: () -  
Email: jjohnston@nwi-ca.org

Address: 5240 Fountain Dr  
Crown Point, IN 46307-1084

Counties served:	LAKE County	Tentative allocation: \$ 855,329.00 Planned units: 64	Congressional districts served:	<u>CD</u> IN-01
		Type of organization: Non-profit organization		
		Source of labor: Contractors		

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Name: **Ohio Valley Opportunities, Inc.**

Contact: Jeff Rowlett  
UEI: D4CLGEA1PH33  
DUNS: 074093907  
Phone: (812) 265-5858  
Fax: () -  
Email: jrowlett@ovoinc.org

Address: 421 Walnut St  
PO Box 625  
Madison, IN 47250-3565

Counties served:	BARTHOLOMEW County DECATUR County JACKSON County JEFFERSON County JENNINGS County SCOTT County	Tentative allocation: \$ 550,238.00 Planned units: 41	Congressional districts served:	<u>CD</u> IN-06 IN-09
		Type of organization: Non-profit organization		

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
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State: IN Grant Number: EE0009901 Program Year: 2024

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Source of labor: Agency and Contractors

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Name: **Pace Community Action Agency**

Contact: Mary Grounds

UEI: LVRLKJ3MPGM8

DUNS: 077862126

Address: 525 N 4th Street  
Vincennes, IN 47591-1446

Phone: (812) 882-79271209

Fax: () -

Email: mgrounds@pacecaa.org

Counties served: KNOX County  
DAVIESS County  
GREENE County  
SULLIVAN County

Tentative allocation: \$ 377,611.00

Planned units: 29

Type of organization: Non-profit organization

Congressional districts served:

CD  
IN-08

Source of labor: Contractors

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Name: **REAL Services, Inc.**

Contact: Adam Combs

UEI: GUULBJ28J683

DUNS: 088738703

Address: 1202 S Main St  
South Bend, IN 46601-3427

Phone: (574) 284-7114

Fax: () -

Email: acombs@realservices.org

Counties served: FULTON County  
ELKHART County  
ST. JOSEPH County  
MARSHALL County  
KOSCIUSKO County

Tentative allocation: \$ 1,043,518.00

Planned units: 78

Type of organization: Non-profit organization

Congressional districts served:

CD  
IN-02

Source of labor: Contractors

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Name: **South Central Community Action Agency (SCCAP)**

Contact: Steve Kramer

UEI: C13RVFSKNP45

DUNS: 005629444

Address: 1500 W 15th St  
Bloomington, IN 47404-3018

Phone: (812) 339-3447706

Fax: () -

Email: skramer@inseccap.org

Counties served: BROWN County  
MONROE County  
MORGAN County  
OWEN County

Tentative allocation: \$ 552,037.00

Planned units: 42

Type of organization: Non-profit organization

Congressional districts served:

CD  
IN-04  
IN-08  
IN-09

Source of labor: Contractors

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U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
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State: IN Grant Number: EE0009901 Program Year: 2024

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<b>Name: Southeastern Indiana Economic Opportunity Corporation</b>		<b>Contact:</b> Rocky Walton	
		<b>UEI:</b> NNDBW2X9AKD9	
		<b>DUNS:</b> 099026296	
<b>Address:</b> 110 Importing St		<b>Phone:</b> (812) 926-1585240	
PO Box 240		<b>Fax:</b> () -	
Aurora, IN 47001-1434		<b>Email:</b> rwalton@sieoc.org	
<b>Counties served:</b>	RIPLEY County	<b>Tentative allocation:</b> \$ 379,771.00	<b>Congressional</b>
	OHIO County	<b>Planned units:</b> 29	<u>CD</u>
	FRANKLIN County	<b>Type of organization:</b> Non-profit organization	IN-06
	DEARBORN County		
	SWITZERLAND County		
<b>Source of labor:</b> Agency			

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<b>Name: State of Indiana, IHCDA</b>		<b>Contact:</b> Greg Glassley	
		<b>UEI:</b> PW8WAKF1KWG9	
		<b>DUNS:</b> 086870479	
<b>Address:</b> 30 S Meridian Street		<b>Phone:</b> (317) 232-3075	
Ste 900		<b>Fax:</b> (317) 233-7778	
Indianapolis, IN 46204-0000		<b>Email:</b> gglassley@ihcda.in.gov	

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

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Counties served:	SULLIVAN County SWITZERLAND County STARKE County STEUBEN County UNION County VANDERBURGH County VERMILLION County TIPTON County TIPPECANOE County WAYNE County WHITE County WHITLEY County WASHINGTON County WARREN County WARRICK County VIGO County WABASH County WELLS County ADAMS County ALLEN County BARTHOLOMEW County BENTON County BLACKFORD County BOONE County BROWN County CARROLL County CLARK County CASS County CLINTON County CRAWFORD County CLAY County DAVISS County DEARBORN County DECATUR County DEKALB County HANCOCK County HARRISON County HAMILTON County GREENE County HENRY County HENDRICKS County HOWARD County HUNTINGTON County JACKSON County FAYETTE County FLOYD County DELAWARE County DUBOIS County ELKHART County GIBSON County	Tentative allocation: \$ 229,685.00 Planned units: 0 Type of organization:	Congressional districts served:	<u>CD</u> IN-Statewide
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U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**SUBGRANTEE INFORMATION**  
State: IN Grant Number: EE0009901 Program Year: 2024

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GRANT County  
FOUNTAIN County  
FRANKLIN County  
FULTON County  
JOHNSON County  
JEFFERSON County  
JENNINGS County  
JASPER County  
JAY County  
LAPORTE County  
LAGRANGE County  
LAKE County  
KOSCIUSKO County  
KNOX County  
MIAMI County  
MONROE County  
MONTGOMERY County  
MORGAN County  
NEWTON County  
MADISON County  
LAWRENCE County  
MARTIN County  
MARION County  
MARSHALL County  
SHELBY County  
SPENCER County  
ST. JOSEPH County  
SCOTT County  
PULASKI County  
PUTNAM County  
POSEY County  
RANDOLPH County  
RIPLEY County  
RUSH County  
PIKE County  
PORTER County  
PARKE County  
PERRY County  
NOBLE County  
OHIO County  
ORANGE County  
OWEN County

Source of labor: Agency and Contractors

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U.S. Department of Energy  
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Name: <b>Tri-CAP (Dubois-Pike-Warrick) Economic Opp. Comm. Inc.</b>	Contact: Brian Beckman	
	UEI: DWDBNVJFE3C8	
	DUNS: 605105345	
Address: 607 Third Ave	Phone: (812) 482-2233110	
PO Box 729	Fax: () -	
Jasper, IN 47546-3636	Email: brian@tri-cap.net	
Counties served: WARRICK County	Tentative allocation: \$ 288,361.00	Congressional districts served: <u>CD</u>
DUBOIS County	Planned units: 22	IN-08
PIKE County	Type of organization: Non-profit organization	
	Source of labor: Agency and Contractors	

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Name: <b>Western Indiana Community Action Agency, Inc.</b>	Contact: Jon Hook	
	UEI: TABYL92MU463	
	DUNS: 121576292	
Address: 859 W Jackson St, Ste A	Phone: (812) 446-4000	
Brazil, IN 47807-4705	Fax: () -	
	Email: jhook@wicaa.org	
Counties served: VIGO County	Tentative allocation: \$ 439,405.00	Congressional districts served: <u>CD</u>
PUTNAM County	Planned units: 33	IN-08
CLAY County	Type of organization: Non-profit organization	IN-04
	Source of labor: Agency and Contractors	

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**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
STATE PLAN / MASTER FILE WORKSHEET  
**Grant Number:** EE0009901, **State:** IN, **Program Year:** 2024  
**Recipient:** State of Indiana, IHEDA

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

**2.1 Income Eligibility and Documentation**

The Weatherization sub-grantee staff or its subcontractor is obligated to review and determine WAP eligibility status for anyone requesting an application. No unit will be weatherized without documentation that the unit is eligible. [10 CFR 440.22](#). The local sub-grantees verify applicant's income during the application process. **Income reverification is not required or needed if the client is already EAP approved with an active application.**

The Weatherization sub-grantee's staff or its subcontractor are obligated to review and determine WAP eligibility status for anyone requesting an application. Clients may not be denied the right to submit a WAP application by the Weatherization sub-grantee or its subcontractors.

Per [10 CFR 440.22](#), a unit shall be eligible for Weatherization assistance if it is occupied by a family unit:

- Whose income is at or below 200% of the poverty level determined in accordance with criteria established by the Director of Office of Management and Budget. [Poverty Guidelines](#).
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and Title XVI of the Social Security Act.
- Is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

At the beginning of each calendar year, newly approved poverty guidelines for the program year are issued. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines annually.

**Child Support, Foster Care, and Adoption Assistance**

Child Support, Foster Care, and Adoption Assistance payments, whether received by the Payee or paid by the Payor, are not considered Sources of Income to be added to the Payee income or deducted from the Payor income for the purposes of determining applicant eligibility.

- Payee: Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance is not considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she does not add that amount to his or her calculation of income for purposes of determining eligibility). This is in line with Indiana's EAP income guidelines.
- Payor: Where an applicant pays Child Support through a state program and/or to an individual, such assistance is not considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she may not deduct said assistance from his or her calculation of income for the purposes of determining eligibility). Indiana's EAP income guidelines are not consistent with this guidance. **Income will need to be re-calculated for clients with this scenario.**

Sub-grantee must clearly document which households receive payment for foster care and/or pay or receive child support. These notes and income recalculation documents must be included in the Weatherization client file. If minor errors are found in the EAP file, the Weatherization sub-grantee should notify the EAP Local Service Provider. Major errors or issues should be brought to the attention of IHEDA. [WPN 23-3](#).

**Client Eligibility Documentation**

IHEDA requires all subgrantees ensure client eligibility during the period in which services are delivered. Clients which are deemed categorically eligible as a result of their LIHEAP and/or HUD eligibility will have their most recent application date transferred into their IWAP record. Sub-grantees must ensure services are delivered within one year of the most current application date or the client income must be reverified. Files of clients not categorically eligible through EAP and/or HUD must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the *Indiana Energy Assistance Program Operations Manual* at MyIHEDA's [EAP](#) or [WPN 23-3](#).

Households that are categorically eligible have several of the required items in their EAP file. A client's Energy Assistance Program (EAP) application must be active at the time the weatherization services are provided and at the time of QC inspection. Information, such as income verification, does not need to be duplicated. During monitoring, IHEDA or any contracted monitoring entity reserves the right to inspect the EAP client income verification to ensure client eligibility.

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Subgrantees may certify that applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Method of verification of eligibility must be included in the client file.

Weatherization may **not** be denied based on the utilities not being in the occupant's name. In the case of rental-occupied units, agreements with the landlord (see Sections 2.2 and 4) are needed to guarantee the accrual of benefits from the Weatherization services are transferred to the tenant. Owner-occupied units where homeowners do not have utilities in their name are eligible applicants for Weatherization services, as the benefits directly accrue to their stake in their home as a component of their prosperity and self-sufficiency. Utilities under the name of an individual besides the homeowner does not replace the energy burden placed on the applicant.

#### Approach to Determining Eligibility

If Weatherization work cannot be completed before the application expires a new application is required to be completed. It is considered best practice in this case to complete work before the application expires. Recertification of eligibility must occur every 12 months. If a job is not completed, i.e., it has not passed QC inspection, and the application has expired, and the client is no longer income eligible, contact IHCD.

#### 3.2 Required Forms

Client files must be kept to verify the work that has been completed and to track expenditures on each unit. Meaningful photographs must also be required in all client files. Sub-grantees are required to report completions and document all funding sources, including non-Federal funding, which were used on a unit. The documentation must detail the dollar amount of DOE and US Department of Health and Human Services (HHS) (LIHEAP) grant funds spent on each unit per measure. The file must also contain the paperwork necessary to document that proper procedures were followed in the performance of the work. Some forms, such as the application, are required in all client records. Other documents, such as the rental agreement, will only be contained in the files **where applicable**. Required forms that are given to the client should be documented and tracked by the sub-grantee.

#### Required Forms

A detailed **Cover Page** that has been approved by IHCD's program monitor must be included in each client file.

A client's **Energy Assistance Program (EAP) application** must be active at the time weatherization services are provided and at the time of QC inspection. An application is considered active for a twelve-month period starting from the date of the initial approved application when the client income verification was completed. Before work is started, be sure the income verification on the application is within the allowable twelve-month period. If the version in the EAP database is the most current, no paper copy is required. If a client has an expired application in the EAP database and recently reapplied, a current paper copy is required in the client file. A paper copy may be requested by IHCD program monitors when reviewing client files. Sub-grantees must utilize the most recent or current approved application.

A client's **HUD Section 8 Voucher** and proof of HUD housing. HUD housing does not expire, and the client will be categorically eligible by their residence.

**Income documentation** verifying total household income for the 3 months prior to application should be available. If categorically eligible under EAP, income information does not need to be copied for the weatherization file. For the purposes of monitoring, EAP files must be made available. Sub-grantees must use a form or method of income calculation that is consistent with guidelines as written in the most current version of the *Indiana Low Income Energy Assistance Program Operations Manual* at MyIHCD's [EAP](#). Because files are subject to review, both by state and Federal agencies, it is imperative that case files accurately reflect the computation of household income.

The **Zero Income Affidavit** must be used to verify zero income for **each** household member, age 18 and over, who claim no income for the 3 months prior to the application date. In addition to a completed form, each zero-income claimant must have an attached **wage inquiry or income summary from the local Workforce Development Office**. This is no longer completed during the EAP application process but is a DOE requirement that must be completed by the Weatherization sub-grantee. *Appendix S – Zero Income Affidavit*. According to the U.S. Department of Energy [WPN 23-3](#) under Section D Proof of Eligibility #3 Self Certification, zero income claimants must have a **notarized** affidavit claiming zero income for Low Income Weatherization Assistance. IHCD requires a notarized Zero Income Claimant Form to be in each client's file who claims zero income. All sub-grantees must use this form for all WAP applications. The form must be notarized in compliance with [WPN 23-3](#). The form must be signed by the Zero Income Claimant **or** the person who completes the application on behalf of the household. If the signatory is not the zero-income claimant, the person must be listed as a household member on the EAP application.

**Applicant Deferral Notification Letters** mailed to deferred weatherization clients must be included in each weatherization client file. The notification must detail the process described in the Appeals Process section of the manual. A deferral letter template can be found in *Appendix R - Applicant Deferral Notification Letter*. The letter must include the following:

- Sub-grantee contact names and address
- Reason(s) for deferral

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- Next steps for the client and a specific timeline for action
- All additional client education, per [WPN 22-7](#). Also see Indiana’s Health and Safety Plan
- Mold and Moisture form
- Meaningful photos of the deferred items.

**Landlord/Rental Agreement** detailing Weatherization sub-grantee’s rental policy, including sub-grantee’s requirement for any minimum landlord contributions. The form must be signed by the landlord, client, and sub-grantee personnel. Per [10 CFR 440.3](#), *Rental Unit* means a unit occupied by a person who pays rent for the use of the unit.

**Measure Report:** A copy of the NEAT/MHEA/MulTEA measure report or the Priority List Checklist must be in the client file, including specifications on each task the workers will complete. IRMs must be justified by written and photograph documentation in the client file per [WPN 19-5](#).

**Work Order:** A copy of the detailed work order must be included in the file. It must align with the NEAT/MHEA/MulTEA measure report or the Priority List.

A work order cover sheet is required. The work order cover sheet can be found in *Appendix I - Work Order Cover Sheet - NEAT-MHEA Cover*.

Sub-grantees may choose to utilize the DOE-approved Priority List for the state of Indiana (section 4.5) or may perform NEAT/MHEA audit on all units within each grant cycle **unless utilizing the Regional Priority List**. Priority List Checklists and NEAT/MHEA/MulTEA audits must be kept for 3 years. IHCDA will work with INCAA to provide regularly updated fuel pricing to sub-grantees to ensure that accurate NEAT and MHEA audits are being performed, and costs are justified. These costs must be added to NEAT/MHEA/MulTEA libraries and implemented **annually**. Sub-grantees are required to provide copies of their NEAT/MHEA/MulTEA database upon request by IHCDA or its representatives.

**Certificate of Insulation** must be posted in an appropriate location within the unit [attic, near water heater, etc.] and a copy placed in the client file. This certificate must be signed by the Crew Leader. *Appendix T – Certificate of Insulation*

**Invoices for Work Completed** must be included in the client files. Invoices must include:

- A detailed breakdown by material and labor costs; each measure should be listed individually with labor and material costed separately and should be identified ECM, IRM, or health and safety, along with which funding source paid for each measure.
- Date the work was performed
- Last and first names of the workers
- Signed by contractor or representative
- Client Name
- On company letterhead

**Quality Control Inspection Form** is required to meet the requirements of DOE’s [WPN 22-4](#). For additional details see Section 4.2. **Quality Control Inspection** *Appendix X – QCI Final Inspection Form*

**Heating System Forms** must be completed by Energy Auditors, HVAC Professionals, and Quality Control Inspectors on every unit. Each section must be signed and dated by the appropriate personnel. The appropriate document should be utilized depending on heating system type.

**HVAC Load Calculation**, a Manual J, must be completed for every heating system replacement and must be in compliance with the SWS. When heat pumps, mini-splits, or air conditioning systems are installed, a cooling load must also be completed.

**New Gas Furnace Installation Inspection Form** is to be used only when a new gas heating system has been installed. It must be completed by the HVAC Professional and Interim/Quality Control Inspector. It must be signed and dated by the appropriate personnel. *Appendix G – New Gas Furnace Installation Inspection Form*

**Gas Cook Stove Form** must be completed and in the client file **only** when there is a gas stove in the unit. This must be completed by the Energy Auditor and Quality Control Inspector. It must also be completed by the HVAC Professional when any work on the gas cookstove is completed. *Appendix L – Gas Cook Stove Inspection Form – 2024*.

**Gas Appliance Inspection Form** must be completed at the initial inspection, at the interim inspection when necessary and the QC inspection when necessary. This form must be signed and dated by the appropriate professionals. See *Appendix M – Gas Appliance Inspection Form*.

**DSTO Form** must be completed by the **Crew Leader** at the end of each workday on a unit. *Appendix P – Daily Safety Test-Out Summary Sheet*.

**Client Consent Form** must be completed for *every unit entered*. The Client Consent must be thoroughly reviewed with the client prior to being signed by the client and a copy must left with the client. *Appendix H – Client Consent Form – 2024*.

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**Lead Paint Hazards Notification** requires weatherization clients receive the EPA booklet, "Renovate Right: Important Lead Hazard Information for Families, Childcare Providers, and Schools." This booklet can be found by going to the EPA's [Renovate Right Brochure](#). It is mandatory that the client receives the EPA booklet and initials the Client Consent Form before weatherization work can commence on that unit and be received within 6 months of lead safe work beginning. *Appendix H – Client Consent Form – 2024.*

**Photographs of Lead Safe Work Practices (LSWP)** set-up and work performance on all unit built prior to 1978 where verified lead-based paint will be disturbed are required. See Section 4.8.

**Lead Renovation Recordkeeping Checklist** is required. See EPA's [Sample Checklist](#).

**Mold/Moisture Hazards Notification** requires that a weatherization client receive written notification of the potential health risks of mold and high moisture levels in the form of the EPA booklet, "Mold, Moisture, and Your Home." This booklet can be obtained from EPA's [Mold Guide](#). *Appendix H – Client Consent Form – 2024.*

**Indiana Moisture and Home Assessment** lists issues that exist in the unit. This form must be signed by the Pre-audit Inspector, Crew Leader, and Quality Control Inspector. In cases of deferral, the form must be signed by the client and the Pre-audit Inspector and must be included with the deferral documentation in the client file. Documentation of client signature or refusal of client signature is required. A copy must be provided to the homeowner. *Appendix O – Moisture Assessment Form – 2024.*

**Fuel Switch Approval** documentation must be in the client's file if applicable. A printout of the *approval email* from IHEDA's Director of Community Programs must be in the file. A fuel switch must be requested prior to the start of work. The request must be in compliance with the Section 4.2 for each fuel switch completed.

**Radon Informed Consent Form** clients must sign an informed consent form prior to receiving weatherization services. This form must be kept in the client file. The work scope should include precautionary measures based on EPA Healthy Indoor Environment Protocols for Home Energy Upgrades, to reduce the possibility of making radon issues worse. Sub-grantees must provide a copy of EPA's [A Citizen's Guide to Radon](#) to all clients, and inform them of radon related risks.

**Occupant Health Screening Form** is required for every job per [WPN 22-7](#). The goal of the form is to ensure the health and safety of every client with regard to products used that could compromise the occupant's health and safety. This form shall be completed by the client at the first in-home meeting, whether that is during the Pre-Audit or Audit. *Appendix K – Occupant Health Screening Form.*

**A complete list of all agency staff and contractors** who have worked in the client's unit. This must include the full names of the auditor, crew members, contractor, contractor employees (both Shell and Mechanical), and include the dates each worker was in the unit. This information may be provided on the contractor invoice where appropriate.

**ASHRAE 62.2 Form** is required for all units. This form must be filled out by the Energy Auditor and Quality Control Inspector. The Energy Auditor and Quality Control Inspector must use the same 62.2 form. Forms may be found at INCAA's [website](#) or Residential Energy Dynamics' [Tools](#).

**Unvented Space Heater Form** is required in the client file for any unit containing an unvented space heater. *Appendix N – Unvented Space Heater Form.*

**Note:** If an employee of a sub-grantee is applying for assistance through the Weatherization program, a note must be included in the file indicating that the sub-grantee's Executive Director has reviewed and approved their application.

Describe what household eligibility basis will be used in the Program

### 2.1 Income Eligibility and Documentation

The Weatherization sub-grantee staff or its subcontractor is obligated to review and determine WAP eligibility status for anyone requesting an application. No unit will be weatherized without documentation that the unit is eligible. [10 CFR 440.22](#). The local sub-grantees verify applicant's income during the application process. **Income reverification is not required or needed if the client is already EAP approved with an active application.**

The Weatherization sub-grantee's staff or its subcontractor are obligated to review and determine WAP eligibility status for anyone requesting an application. Clients may not be denied the right to submit a WAP application by the Weatherization sub-grantee or its subcontractors.

Per [10 CFR 440.22](#), a unit shall be eligible for Weatherization assistance if it is occupied by a family unit:

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- Whose income is at or below 200% of the poverty level determined in accordance with criteria established by the Director of Office of Management and Budget. [Poverty Guidelines](#).
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and Title XVI of the Social Security Act.
- Is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

At the beginning of each calendar year, newly approved poverty guidelines for the program year are issued. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines annually.

#### Child Support, Foster Care, and Adoption Assistance

Child Support, Foster Care, and Adoption Assistance payments, whether received by the Payee or paid by the Payor, are not considered Sources of Income to be added to the Payee income or deducted from the Payor income for the purposes of determining applicant eligibility.

- Payee: Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance is not considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she does not add that amount to his or her calculation of income for purposes of determining eligibility). This is in line with Indiana's EAP income guidelines.
- Payor: Where an applicant pays Child Support through a state program and/or to an individual, such assistance is not considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she may not deduct said assistance from his or her calculation of income for the purposes of determining eligibility). Indiana's EAP income guidelines are not consistent with this guidance. **Income will need to be re-calculated for clients with this scenario.**

Sub-grantee must clearly document which households receive payment for foster care and/or pay or receive child support. These notes and income recalculation documents must be included in the Weatherization client file. If minor errors are found in the EAP file, the Weatherization sub-grantee should notify the EAP Local Service Provider. Major errors or issues should be brought to the attention of IHCD. [WPN 23-3](#).

#### Client Eligibility Documentation

IHCD requires all subgrantees ensure client eligibility during the period in which services are delivered. Clients which are deemed categorically eligible as a result of their LIHEAP and/or HUD eligibility will have their most recent application date transferred into their IWAP record. Sub-grantees must ensure services are delivered within one year of the most current application date or the client income must be reverified. Files of clients not categorically eligible through EAP and/or HUD must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the *Indiana Energy Assistance Program Operations Manual* at MyIHCD's [EAP](#) or [WPN 23-3](#).

Households that are categorically eligible have several of the required items in their EAP file. A client's Energy Assistance Program (EAP) application must be active at the time the weatherization services are provided and at the time of QC inspection. Information, such as income verification, does not need to be duplicated. During monitoring, IHCD or any contracted monitoring entity reserves the right to inspect the EAP client income verification to ensure client eligibility.

Subgrantees may certify that applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Method of verification of eligibility must be included in the client file.

**Weatherization may not be denied based on the utilities not being in the occupant's name. In the case of rental-occupied units, agreements with the landlord (see Sections 2.2 and 4) are needed to guarantee the accrual of benefits from the Weatherization services are transferred to the tenant. Owner-occupied units where homeowners do not have utilities in their name are eligible applicants for Weatherization services, as the benefits directly accrue to their stake in their home as a component of their prosperity and self-sufficiency. Utilities under the name of an individual besides the homeowner does not replace the energy burden placed on the applicant.**

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

Indiana's Weatherization Assistance Program will follow the same procedures outlined within Indiana's [EAP Intake & Operations Program Manual](#). Indiana's approach to ensuring qualified aliens are eligible for weatherization benefits is as follows:

Eligible household members must be United States (U.S.) citizens, U.S. Nationals or qualified non-US citizens (aliens) as defined by [8 USC 1641\(b\)](#). Applicants submitting Social Security Cards (SSNs) will not have to submit any other kind of proof of citizenship or qualified non-US Citizen Status. Persons who are not citizens or qualified non-US citizens are considered to be ineligible household members. Ineligible household members living with eligible household members do not disqualify the family from receiving assistance.

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## V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

### 2.3 Building Eligibility and Documentation

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. Units weatherized (including units partially weatherized) with DOE funds, or under other Federal programs (including LIHEAP) may not receive further financial assistance for weatherization utilizing DOE funds within 15 years of the completion of the previous weatherization. A unit utilizing DOE funds may not be re-weatherized within 15 years of any federally funded weatherization services. [WPN 24-1](#).

Units that have previously received weatherization may receive non-weatherization assistance and services under other Federal programs or may receive weatherization assistance from non-Federal sources. For LIHEAP funded weatherization, a unit may be re-weatherized five years after the end of the grant performance period utilized on the unit.

A building may be determined ineligible for weatherization if its structure would prohibit it from ever being weatherized. Any building that **could be** weatherized after health and safety or other repairs must **not** be considered ineligible. To be eligible for weatherization a building must provide complete independent living facilities for one or more persons including permanent provisions for living, sleeping, eating, cooking and sanitation. If you cannot make a clear determination based on the information provided in this document, please refer to the *2020 Indiana Residential Code* and/or contact INCAA Weatherization training to assist you in your determination. Please include meaningful photographs of the structure and overall property when determination assistance is requested.

**Land Contracts:** If a land contract is in place, then it must be recorded with the assessor's office to be considered valid. If valid, then the land contract can be treated as if the client has a mortgage on the unit. The client would be considered a homeowner.

In the following circumstances, **exceptions** to the required documentation policy will be permitted:

- **Shelters:** a unit or units whose principal purpose is to house on a **temporary** basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.
  - An application and eligibility determination are not required for shelters.
  - Sub-grantees may weatherize shelters. For the purpose of determining how many units exist in a shelter, a grantee may count each 800 square feet of living space within the shelter as a unit or it may count each floor of the shelter as a unit.
  - An individual file must be kept for the shelter project. This file must contain:
    - Shelter's mission statement
    - Occupancy type
    - NEAT/MHEA/MulTEA form
    - All other applicable documents
  - For current reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.
  - IHCDA does not require prior approval to weatherize a shelter.
- **Multi-Family Buildings:** any residential building containing two or more units (see below distinctions; [WPN 22-12](#)). In the weatherization of multi-family buildings, DOE regulations require that 66% (50% for duplexes and quadplexes) of units in the building must be eligible households or will become eligible within 180 days. [10 CFR 440.22\(b\)](#)
  - Residential buildings with 25+ units or are more than 3 stories are usually referred to as large multifamily buildings.
  - Residential buildings with 5-24 units that are 3 stories or fewer are usually referred to as small multifamily or low-rise multifamily buildings.
  - Multi-unit buildings with fewer than 5 units are called 2-4-unit buildings.

### 4.2 Overview of Weatherization Activities

Each unit that receives weatherization will have measures installed that are specific to the needs of the unit; however, the process by which those measures are determined is standard across the state as outlined within the DOE-approved NEAT/MHEA/MulTEA software or the Region 3 DOE-approved Priority List. The following activities must be completed on every unit that is weatherized:

- **An initial Energy Audit** to determine which weatherization measures are most appropriate for the client's unit. The initial audit also includes a health and safety evaluation.
- **Health and safety measures** must be completed to ensure the safety of the occupants and weatherization personnel working in the client's unit. Detailed health and safety guidelines are found in Section 4.3 of this document.

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- **Energy Conservation Measures (ECMs)** to increase the energy efficiency of the unit and reduce the household's energy burden.
- **Client education** to provide the occupants with the information and tools they need to protect the weatherization materials installed and actively participate in saving energy in their units.
- An **interim inspection** is required on all units, except 100% electric without fireplaces. The purpose is to evaluate work performed on the mechanical systems to evaluate all health and safety and **workmanship** issues. Interim inspections must be performed by an Energy Auditor, Quality Control Inspector, or ISV-Certified Retrofit Installer Mechanical. **If the HVAC professional is not ISV-certified, they must receive a third-party interim inspection the day the work is completed. An ISV-certified installer must have a third-party inspection completed prior to payment.** IHCD prohibits anyone inspecting their own work that results in payment from the sub-grantee.
- A **QC Inspection** to ensure that work was completed in a competent and professional manner with the standards set forth by DOE and IHCD.

Previously Weatherized

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3.

**DOE:** The following actions must be taken on each DOE unit prior to weatherization services to ensure that unit that have received weatherization services within **15 years** are not re-weatherized:

- Each client's address must be checked in IWAP for previous weatherization within **15 years**.
- Each client must be asked whether their unit has been weatherized within **15 years**.
- A visual inspection of each unit must be performed by an energy auditor to identify if previous weatherization measures have been performed.

**LIHEAP:** For units utilizing LIHEAP funds, sub-grantees may provide weatherization services to a unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP program year. The following actions must be taken on each LIHEAP unit prior to weatherization services to ensure that units that have received weatherization services within **5 years** are not reweatherized:

- Each client's address must be entered into IWAP to identify whether the client's unit has been previously weatherized and determine what the date is.
- Each client must be asked whether their unit has been weatherized previously and when the weatherization took place.
- A visual inspection of each unit must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the sub-grantee may proceed with weatherization services guided by DOE rules and funding on the unit. If any of the above actions indicate or suspect that weatherization services have previously been rendered in a unit, the sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to the address. "Rework" is different from a "re-weatherized unit". See Section 4.7.

Describe Reweathering compliance

4.2 Overview of Weatherization Activities

Each unit that receives weatherization will have measures installed that are specific to the needs of the unit; however, the process by which those measures are determined is standard across the state as outlined within the DOE-approved NEAT/MHEA/MulTEA software or the Region 3 DOE-approved Priority List. The following activities must be completed on every unit that is weatherized:

- **An initial Energy Audit** to determine which weatherization measures are most appropriate for the client's unit. **The initial audit also includes a health and safety evaluation.**
- **Health and safety measures** must be completed to ensure the safety of the occupants and weatherization personnel working in the client's unit. Detailed health and safety guidelines are found in Section 4.3 of this document.
- **Energy Conservation Measures (ECMs)** to increase the energy efficiency of the unit and reduce the household's energy burden.
- **Client education** to provide the occupants with the information and tools they need to protect the weatherization materials installed and actively participate in saving energy in their units.
- An **interim inspection** is required on all units, except 100% electric without fireplaces. The purpose is to evaluate work performed on the mechanical systems to evaluate all health and safety and **workmanship** issues. Interim inspections must be performed by an Energy Auditor, Quality Control Inspector, or ISV-Certified Retrofit Installer Mechanical. **If the HVAC professional is not ISV-certified, they must receive a third-party interim inspection the day the work is completed. An ISV-certified installer must have a third-party inspection completed prior to payment.** IHCD prohibits anyone inspecting their own work that results in payment from the sub-grantee.
- A **QC Inspection** to ensure that work was completed in a competent and professional manner with the standards set forth by DOE and IHCD.



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Previously Weatherized

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3.

**DOE:** The following actions must be taken on each DOE unit prior to weatherization services to ensure that unit that have received weatherization services within **15 years** are not re-weatherized:

- Each client's address must be checked in IWAP for previous weatherization within **15 years**.
- Each client must be asked whether their unit has been weatherized within **15 years**.
- A visual inspection of each unit must be performed by an energy auditor to identify if previous weatherization measures have been performed.

**LIHEAP:** For units utilizing LIHEAP funds, sub-grantees may provide weatherization services to a unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP program year. The following actions must be taken on each LIHEAP unit prior to weatherization services to ensure that units that have received weatherization services within **5 years** are not reweatherized:

- Each client's address must be entered into IWAP to identify whether the client's unit has been previously weatherized and determine what the date is.
- Each client must be asked whether their unit has been weatherized previously and when the weatherization took place.
- A visual inspection of each unit must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the sub-grantee may proceed with weatherization services guided by DOE rules and funding on the unit. If any of the above actions indicate or suspect that weatherization services have previously been rendered in a unit, the sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to the address. "Rework" is different from a "re-weatherized unit". See Section 4.7.

Describe what structures are eligible for weatherization

Indiana's sub-grantees may weatherize single site built homes, mobile homes (manufactured housing), shelters and multi-unit buildings. Indiana's sub-grantees may also Weatherize units for both homeowners and renters. The selection process is based upon client eligibility, established priority guidelines, and information gathered during the initial audit.

Once a unit is determined to qualify for services, it is up to the Energy Auditor to determine if the unit is a candidate to receive weatherization services or if the unit should be deferred.

IHCDA holds a programmatic agreement with the Indiana State Historic Preservation Office Regarding EECBG, SEP & WAP undertakings. The original agreement was signed June 2012 but pursuant [78 FR 16138](#), dated March 14, 2013 the agreement was extended through Dec 31, 2030. The agreement and extension notification can be found as an attachment to the SF-424.

Describe how Rental Units/Multifamily Buildings will be addressed

2.2 Rental Eligibility

Indiana's policy for the weatherization of rental units complies with [10 CFR 440.16\(i\)](#), and all other pertinent regulations. Sub-grantees must have written permission from the building owner or his agent before commencing and are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the sub-grantee has adopted. Landlord contribution is not required by IHCDA or DOE.

Landlord agreement forms must be included in the files of all weatherized rental units. At a minimum, landlord agreements must state that:

- For at **least** a one-year period after the weatherization work on the unit is completed, **rent increases related to the Weatherization services performed are not permitted.** [10 CFR 440.22\(b\)\(3\)\(ii\)](#)
- Landlord and/or other contributions shall be expended in accordance with the agreement between the landlord and the weatherization sub-grantee. [10 CFR 440.22\(d\)](#)
- Written permission of the landlord, or the landlord's agent, must be obtained prior to the weatherization of the unit.

11.1 Multi-Family Policy

The following multi-family policy applies to both DOE and LIHEAP funded weatherization buildings containing five or more units. All multi-family buildings

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containing five or more units require IHCDA approval. Multi-family buildings less than five units do not require prior IHCDA approval and are not subject to this policy.

Sub-grantees or their contractors are responsible for performing an audit using the multi-family tool MulTEA for buildings containing five or more units. Sub-grantees must contact IHCDA to request access to MulTEA. A NEAT/MulTEA audit must be performed on buildings containing less than five units that are individually heated or cooled. Sub-grantees are responsible for all costs associated with performing this audit.

If the sub-grantee is proposing to weatherize a HUD building, the sub-grantee must refer to [WPN 22-5](#).

**Prior to Starting**

- Sub-grantee capacity
- Contractor capacity and availability
  - If you only have one contractor available for certain measure, that would be a risk that needs to be considered.
- Fiscal capacity of contractor and sub-grantee (all expenses must be fronted)
  - Sub-grantees may run into challenges regarding payment when dealing with contractors. For larger jobs, the contractor would have a lot of work in flux without being able to receive payment until inspections. IHCDA recommends that inspections be staggered so that contractors can submit invoices periodically.
- Adequate grant allocation
- Time of year that work is going to be conducted, particularly regarding when heating or cooling might need to be shut off.
- The property owner must consent to the project and the sub-grantee must have a signed Owner Agreement before any work can begin.

**Entities Eligible**

Agencies on a Quality Improvement Plan (QIP), Modified Quality Improvement Plan (MQIP), or are considered high-risk, as determined by IHCDA, are not eligible to complete multi-family projects.

**Certification and Training Requirements**

A Building Performance Institute (BPI) Multi-family Building Analyst certification is required for all buildings containing five or more units. Buildings containing five or more units must always be inspected by an individual who has successfully completed an approved Multi-family Quality Control Inspector (QCI) training course. Contact INCAA for training updates related to this requirement. [WPN 22-4](#).

**Building Eligibility**

66% of units in a multi-family building are required to be income eligible. [10 CFR 440.22\(b\)\(2\)](#)

**11.2 Multi-Family Requirements**

**Requirements per Number of Units**

Number of Units	Percent of Required Eligible Clients	State Plan	Heating	Audit Runs	Units That Need an Audit	Indiana Auditor Requirement	Number of Units that Require Quality Control Inspection
	<a href="#">10 CFR 440.22(b)(2)</a>	<a href="#">WPN 22-12</a>	<a href="#">WPN 23-6</a>	<a href="#">WPN 23-6</a>	<a href="#">WPN 22-13</a>		<a href="#">WPN 22-4 &amp; 10 CFR 440.21</a>
2-4	66%; no less than 50% duplex and 4 units	Pre-Approved by IHCDA	Separate per unit	NEAT/ MulTEA	All	IN or BPI	All
5-10	66%	DOE approval	Separate per unit with	NEAT/	All	IN or BPI	All*

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11-24		required	IHCDA approval	MulTEA			
25+	66%	DOE approval required	Separate per unit	MulTEA	All; H&S sampling for other diagnostics	Multi-BPI	All*

\*QCIs working in multi-family buildings attend and receive a successful evaluation from a training program delivering a curriculum based on the *NREL Multi-family Quality Control Inspector JTA*.

Dated audits do not apply to Small Multi-Family (5-25 units) or Large Multi-Family (26+ units). Multi-Family projects with 5 units or more will require submittal to DOE for approval. Some NEAT/MHEA for Multi-Family may be possible but will require oversight monitoring and 100% monitoring.

**Note:** All common areas of the building within the thermal envelop must receive weatherization and be inspected for health and safety.

Reading Requirements

All Executive Directors, Fiscal Directors, Weatherization Managers, Energy Auditors, and QCIs are required to read the following documents and complete the Multi-family Required Readings Form, MF Attachment 3.

- [WPN 23-6](#)
- [WPN 22-1](#)
- [WPN 22-4](#)
- [WPN 22-5](#)
- [WPN 22-12](#)
- [WPN 22-13](#)
- WAP Policy & Procedure Manual Section 2.3

11.3 Project Planning & Requirements

Project Plan

All sub-grantees are required to submit a detailed project plan including a timeline of activities to IHCDA prior to commencing a multi-family project. This shall be submitted as part of the Multi-family Project Development Form, MF Attachment 1.

Please note, sub-grantees are not allowed to begin a multi-family project after the beginning of the last quarter of the grant’s program year. For example, all DOE funded multi-family projects must be started *no later than* January 1st unless pre-approved by IHCDA. All work shall be completed by February 1st including QCI inspections to allow enough time for any necessary reworks. All requests for exceptions shall be sent to [iwx@ihcda.in.gov](mailto:iwx@ihcda.in.gov). IHCDA’s Director of Community Programs will make the final determination regarding exceptions.

Quality Control Plan

Prior to any work being done, the sub-grantee must have a written Quality Control (QC) Plan approved by IHCDA. Quality Control shall be enforced through the entire course of the multi-family project. The minimum requirements for the QC Plan are:

- Sub-grantee quality assurance file review process
- QCI in-progress site visit schedule
- QCI onsite meeting schedule with contractors, tenants, landlords, maintenance personnel, engineering firms, etc.

Mandatory Pre-Consultation

Sub-grantees considering a multi-family project containing five or more total units, or *any* number of units that share a central heating system, must set up a pre-consultation with IHCDA. To do so, please email [iwx@ihcda.in.gov](mailto:iwx@ihcda.in.gov). IHCDA requires the Multi-family Project Development Form (MF Attachment 1) be submitted to IHCDA prior to the pre-consultation meeting.

Progress Updates

All sub-grantees working on a multi-family project(s) are required to provide IHCDA with written updates at a frequency determined by IHCDA. The sub-grantee must also provide IHCDA with a written update when each benchmark in the proposed timeline has been met. The email update should be sent to the

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Weatherization Team at [iwx@ihcda.in.gov](mailto:iwx@ihcda.in.gov).

**Audit Requirements**

All units in two to four-unit buildings must be assessed. In buildings with five units, with no fewer than three units per floor plan, at least 10% of units must be visited for a complete energy audit during the pre-weatherization building assessment. In addition, at some point during each project, all units must have a documented inspection for possible health and safety concerns, including diagnostics if appropriate, followed by work orders for correction. [WPN 22-12](#).

**Note:** All units with a combustion appliance present must receive pre- and post- health and safety diagnostics testing.

Blower door testing is required on at least 15% of units of each floor plan or five units of each floor plan, whichever is greater. A minimum of five units must be visited during the audit. Health and safety testing is required in all units and all common areas [WPN 22-12](#). The Multi-family Building Analyst and Multi-family trained QCI cannot be the same individual.

**Client File Documentation**

Per [WPN 22-12](#), The WAP file for each building must contain at least the following information from the energy audit:

- The recommended statement of work including the savings-to-investment ratios (SIRs) of each measure and the total project SIR:
  - If any measures were bought down the documentation must show the pre-bought down SIRs of each individual measure and the pre-bought down project SIR
  - Documentation must include the other sources that funded each bought-down measure.
- Either a printed file showing all of the building audit inputs and outputs or the immediately accessible electronic file that shows all of the audit inputs and outputs
- Final installed costs of each measure and the total project cost. If the project, went through the bidding process all bids must be in the file.
- All specifications defining each measure.

All other standard Weatherization client file documentation, as applicable, is required.

Following multi-family forms are required and must be submitted to IHCDA. Incomplete submissions will be returned to the sub-grantee.

Document Name:	Required by:
Multi-family Project Development Form (MF Attachment 1)	Before Pre-consult
Multi-family Required Readings Form (MF Attachment 3)	
Historic Preservation Form/Documentation	
Buy-Down Agreement and/or Landlord Participation Agreement	Before Building Diagnostic Audit
Multi-family Building Owner Agreement Form (MF Attachment 2)	
Income Eligibility Documents	
Demographics of Residents	
Accrual of Benefits to Tenants	After Building Diagnostic Audit
Audit Runs	
Multi-family Contractor Information Form (MF Attachment 4)	
Quality Control Plan	

**Buy Downs**

Upon agreement between the sub-grantee and building owner, building owners may buy down measures typically prioritized as needs, such as furnace or boiler replacements, that do save energy but don't achieve an SIR of 1 or greater as a stand-alone measure. A measure can be bought down only when the overall SIR of the package of measures, including the full cost of the measure that will be bought down, is 1.0 or greater. See Examples below for Case 1 and 2:

Energy Saving Economics Case 1 – Buy down allowed in WAP		
Measure	Measure SIR	Cumulative SIR
Infiltration Reduction	1.3	1.3
Lighting Retrofits	7.4	1.7
Ceiling Insulation	2.4	1.9
Replacement Windows (pre-buy down)	0.8	1.1 (>/=1.0)

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The replacement windows **would** be eligible for a buy-down in WAP; the replacement windows with a full-cost measure SIR = 0.8 could be bought down so the after-buy-down DOE *measure* cost would have an SIR of at least 1.0 (and of course the post-buy-down DOE package SIR would increase).

Energy Saving Economics Case 2 – Buy down not allowed in WAP		
Measure	Measure SIR	Cumulative SIR
Infiltration Reduction	1.3	1.3
Lighting Retrofits	7.4	1.7
Ceiling Insulation	2.4	1.9
Replacement Windows (pre-buy down)	0.6	0.9 (<1.0)

In the second case the replacement windows **would not** be eligible for a buy-down in WAP because the pre-buy-down *package* SIR is below 1.0. [WPN 22-12](#)

**Note:** Please consult with IHCD before buying down measures.

**Owner Contribution/Landlord Participation**

Per [WPN 22-12](#), every sub-grantee is required to have an Owner Contribution/Landlord Participation policy in place. Prior to commencing a multi-family project. Sub-grantees are not required to take contributions from landlords. IHCD has provided an optional Multi-family Owner Contribution Form as part of the Multi-family Project Development Form (MF Attachment 1) for sub-grantee convenience.

Owner Contribution/Landlord Participation are separate from the monies used to buy down measures.

**Utilities Included in Rent**

When performing Weatherization services of any rental property, including multi-family, when tenants do not directly pay for their own utilities, i.e., utilities included in rent, the sub-grantee administering the program must demonstrate the benefits to the low-income tenants. [10 CFR 440.22\(b\)\(3\)\(i\)](#). Sub-grantees must have a policy or procedure in place to properly document this. [WPN 22-12](#).

**Monitoring**

All multi-family projects containing 5 or more units will have a minimum of 10% of those units monitored.

**Procedure for Certifying Income-Eligible HUD Assisted Buildings**

Prior to 2017, HUD provided lists of HUD Multi-family Property Listings Eligible for Weatherization Assistance to DOE for posting on DOE’s website; however, the previously-published lists of eligible buildings expired on December 31st, 2016. New building lists will be provided by HUD using the new procedure outlined in this guidance.

HUD has developed an income certification process for individual properties that relies on certified annual income records and building information maintained by the property owner pursuant to Federal requirements. This process has been determined to comply with the requirements of the January 25th, 2010 rule. Owners or managers of HUD Qualified Assisted Buildings seeking WAP funds may continue to use this Property Certification Procedure for individual properties, as outlined below.

Following [WPN 17-4](#), to ensure that a multifamily building meets the income eligibility requirements set by DOE pursuant to the certification process established by HUD, property owners and managers shall submit two documents to HUD: 1) a **Property Self-Certification** form that specifies that the building in question meets DOE’s income eligibility requirements and, 2) a **Property Occupancy Report** from current property records that confirm compliance with DOE’s income eligibility requirements.

**I. Property Certification**

The property owner or authorized agent of the property must sign a Self-Certification form attesting that:

1. The property owner or authorized agent maintains certified income records for households residing at the property.
2. The property owner or authorized agent has reviewed its current certified income records.
3. The property owner or authorized agent has determined that at least 66 percent of the units in each building (or at least 50 percent of the units for 2- and 4-unit buildings) have certified incomes that are at or below 200 percent of the current federal poverty level based on household size.
4. The property owner or authorized agent certifies that all the information provided with the certification request is true and accurate.

A multifamily property certification form is attached for use by property owners or authorized agents.

**II. Property Occupancy Report**

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The property owner or authorized agent must also complete and submit an Occupancy Report for the property.

A **Multifamily Occupancy Report** worksheet file is attached for completion by property owners or authorized agents. The file contains a **Property Information** worksheet and **Building-Unit** worksheets that must be completed for each building. The income information requested should be available from standard occupancy reports prepared for the property.

Required property information includes: property name, HUD contract number, contract expiration date, other property identification number (if applicable), property address and the number of buildings and units that are at the property and that meet DOE's income requirements.

Required building-unit information includes a listing of all units and information for each unit including: building identification, building address, certified annual income, household size, and whether the household income was certified in the last year.

Upon completion of the **Property Certification** and the **Multifamily Occupancy Report**, the property owner (or property owner's representative) will submit both files to HUD at [energyaction@hud.gov](mailto:energyaction@hud.gov) and to DOE at [Derek.Schroeder@ee.doe.gov](mailto:Derek.Schroeder@ee.doe.gov).

### **III. HUD Review**

1. HUD will review the certification and accompanying documentation for completeness. If the documentation submitted by the property owner is insufficient for HUD to complete its review, HUD will notify the property owner via e-mail that the request cannot be approved based on the information submitted.
2. HUD will review the household and property information provided under the self-certification process with records maintained by HUD, and may request additional occupancy information subject to Federal requirements.
3. If the documentation is complete and one or more of the buildings at the property meet DOE's income eligibility requirements, HUD will designate the property or list of qualified buildings as income qualified properties/buildings, and will notify Derek Schroeder at DOE and the building owner.
4. HUD will at the same time provide DOE with a list of the income-certified buildings pursuant to the above procedures; DOE will post these lists on its web site as required by [10 CFR 440.22\(b\)](#).
5. Buildings determined by HUD to be eligible for WAP assistance will be posted on one of two lists:
  - a. List 1 – Public housing buildings or privately-owned buildings with three or more years remaining on their affordability contracts with HUD are included on this list. As outlined in the January 2010 Final Rule, inclusion on List 1 demonstrates compliance with the following three WAP multifamily program requirements: (1) DOE's income requirements; (2) protection against rent increases; and (3) protection against undue enhancement of the weatherized building.
  - b. List 2 – Buildings on this list have less than three years remaining on their Housing Assistance Payments (HAP) contract with HUD. As outlined in the January 2010 Final Rule, inclusion on List 2 demonstrates compliance with only the following two multifamily program requirements: (1) DOE's income requirements; and (2) protection against undue enhancement of the weatherized building. Buildings on this list must separately comply with the WAP program requirement for protection against rent increases.

### **U.S. Department of Agriculture (USDA) and Low Income Housing Tax Credit (LIHTC) Properties**

The certification procedures outlined in this Guidance do not apply to LIHTC properties, or for properties with USDA guaranteed loans. The LIHTC and USDA lists of income-eligible properties are no longer valid and will no longer be updated; WAP providers should follow standard procedures for verifying individual resident incomes for USDA and LIHTC properties.

### Describe the deferral Process

#### 4.5 Deferral Standards

Although a client may meet eligibility requirements for weatherization, the sub-grantee may defer the unit for weatherization services as a result of the unit not being suitable for weatherization services. A deferral may occur due to problems that are beyond the scope of weatherization such as condition of the structure, area is slated for redevelopment or health and safety reasons. Deferrals can take place during any phase of the weatherization process. This includes, but is not limited to the following:

- Pre-audit inspection
- During the energy audit
- During HVAC work
- During SHELL work
- During the quality control inspection
- Any other time during the course of Weatherization

A Deferral, as such, is defined as an eligible application that does not meet the requirements to be weatherized. There are two types of deferrals: 1) Deferred homes Weatherized; 2) Deferred homes not Weatherized. Of these two types of homes, it is pertinent to track the totals and determine the rate at which they occur in the program to derive the following defined rates:

- **Deferred Non-Weatherizable Rate = Number of homes deferred and not Weatherized ÷ number of total inspections**

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- **Deferral Completions Rate = Number of homes deferred and Weatherized after remediation ÷ number of total completions**
- **Total Deferral Rate = Number of homes deferred ÷ number of inspections**

**Subgrantees are required to report deferrals on a monthly basis in order to track the three rates above.**

A pre-audit inspector, energy auditor, HVAC professional, Crew Leader, Quality Control Inspector have the authority to recommend deferral to the Program Manager. All deferral initiations must be reported to the Program Manager. Any time a unit visit is conducted that results in a deferral, a formal written deferral letter, as described below, must be submitted to the client. All Weatherization work must be postponed until the deferral issues have been remedied by the client and/or by an alternate funding source. Below is a non-comprehensive list of possible justification for deferral:

- Client refuses a Health and Safety Measure
- Client refuses a Major Measure, as described in Attachment 8 of [WPN 23-6](#)
  - **A Major Measure is a high priority measure, which if skipped, would result in “partial” Weatherization of a unit. Major Measures are as follows: air sealing, duct sealing outside the thermal boundary, thermal boundary insulation (attic, wall, floor or belly, foundation, sill, etc.)**
- Client or client family/friends in the unit are uncooperative, abusive, threatening, engaged in illegal activities
- Signs of illegal activities in the unit, i.e.: hypodermic needles, drug paraphernalia, unsecured firearms and/or weapons, etc.
- Moisture issues
- Raw sewage or other sanitary issues
- Pests, insects, vermin, and/or rodents
- Unit is for sale, foreclosed, and/or owner will not be residing in the unit throughout the weatherization process
- Applicant is deceased
- Lead based paint conditions that could endanger the health of the occupants or workers.
- Unit has been condemned
- Unit has structures issues that could endanger the occupants or workers.
- Unit is under construction or being remodeled
- Application parameters do not reflect current household
- All other conditions that could endanger or compromise the well-being of the occupants and/or Weatherization professionals

At any point when a unit is deferred, the client must be provided with written notification of the deferral within 10 business days. The written notice must be in compliance with [WPN 22-7](#) and IHCDA State Plan. A copy of the written notification of deferral to the client must be placed in the client file. The client must also be given a copy of the signed and dated Moisture Assessment form. A copy of this form must also be in the client file. For each deferral issue within the unit, there must be a meaningful corresponding photograph of the issue(s) in the client file. The deferral notification to the client must include the instructions for pursuing an appeal to the deferral. This appeal must follow established protocol outlined in the Appeals Procedure section of this manual. The deferral notification must be sent to the client in writing and must include the following:

- A signed Moisture and Home Assessment Form
- Reason(s) for deferral
- Actions and timeline required by client to receive Weatherization services.
- Appeal process

When a deferral occurs once the weatherization process has commenced, all work is required to be completed and pass a QC inspection by a QCI within 12 months of the application date in order to be counted as a completion. If this is not possible, the sub-grantee must submit the following documentation to IHCDA with the following information for a Provisional Closeout, which may be approved by IHCDA, but will not count as a completion:

- Meaningful photographs of the cause(s) for deferral
- Moisture Assessment Form
- Documentation of client education as required per [WPN 22-7](#)
- Client Health Screening, when applicable
- Concise timeline beginning with approved application date, date of pre-audit (when applicable) date of audit, date of HVAC, date of SHELL, date all deferrals.
- Justification stating the reason work could not be completed in a timely manner.
- All other documentation as requested by IHCDA

**The costs associated with deferring a unit are allowable expenses** under Base Program Operations, **Health & Safety and/or LIHEAP**. **Following all current funding grant rules**, sub-grantees must document on the deferred invoice that the charge was for a deferred unit, and it not attributed to any particular completion. All costs must be reported in IWAP.

All agencies will pursue alternative funding resources to reduce the occurrence of deferral. Agencies should establish lines of communication with other funding sources so that referrals can occur in an efficient manner. The following is a list of potential funding sources to help remedy situations in a unit:

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- U.S. Department of Housing and Urban Development (HUD) - HOME Program
- HUD - Community Development Block Grant
- U.S. Department of Health and Human Services - Community Services Block Grant
- U.S. Department of Agriculture - Rural Economic Community Development
- State-funded housing and rehabilitation programs
- Low-income program funds provided by local utilities
- City-funded housing and rehabilitation programs
- Donations or financial participation from landlords
- Donations from local churches or community groups
- State Deferral funds as outlined in Section 10
- Emergency Repair and Replace – Energy Assistance Program (EAP)

#### 2.4 Appeals Procedure

When a Weatherization sub-grantee determines that a household is ineligible, the sub-grantee, within 10 business days, must provide a written denial to the client detailing the reason(s) for the denial and advising them of their right to appeal the decision. Weatherization sub-grantees must retain in the client file a copy of the denial letter with the appeal procedure that was sent to the client.

**Pictures must be taken to document the conditions leading to deferral and must be placed in the client file.**

IHCDA strongly recommends that the **Applicant Notification Form** found in *Appendix R* be the basis of any form created by the Weatherization sub-grantee to notify weatherization clients of their denial of services.

Applicants may appeal a denial. Allowing a client to appeal a sub-grantee's decision is mandatory for the Weatherization Assistance Program. The appeals procedure must be communicated to households whose assistance has been denied. When the sub-grantee provides written notification of denial to an applicant, the notification must include the household's right to appeal that determination.

The "right to appeal" information provided to any denied household must contain the following two processes:

- **Local Review:** The client must send their written appeal to the local sub-grantees Weatherization Manager or Executive Director within 30 days of receipt of the denial. The sub-grantees Executive Director or Weatherization Manager determines the applicant's eligibility on review within 10 business days of receipt of the applicant's written appeal. All appeal documentation must be saved in the client file and IHCDA's Community Programs Manager - Weatherization must be notified of denied appeals. The final determination for the appeal must be sent to the client in writing by the sub-grantee's Executive Director.
- **State Review:** If the client is not satisfied with the sub-grantee's determination, they may request formal review by the State, but it must be submitted in writing. This request is made by submitting the appeal to IHCDA's Director of Community Programs. The sub-grantee may submit this appeal on behalf of the client, or the client may submit it directly to IHCDA. This request for formal review must be made within 30 days of receipt of the sub-grantee's appeal determination. The appeal must include the stated reasons for the Client's objection to the decision, reasons must be based solely upon evidence supporting one of the following circumstances:
  - Clear and substantial error or misstated facts which were relied on in making the decision being challenged/appealed.
  - Unfair competition or conflict of interest in the decision-making process
  - An illegal, unethical or improper act; or
  - Other legal basis that may substantially alter the decision.

The appeal must be made in writing and received by the Indiana Housing and Community Development Authority (IHCDA) within 30 days of receipt of the sub-grantee's final decision. The appeal is to be sent to the IHCDA's Director of Community Programs who will make the final determination. The client will receive written acknowledgement of receipt of the appeal by the Director of Community Programs within 5 business days, noting the day the appeal was received. All pertinent material from the case will be requested from the Weatherization sub-grantee by IHCDA in order to make a determination. The applicant, as deemed appropriate, shall have the opportunity to review all documentation submitted to IHCDA. The Director of Community Programs will have 30 days from IHCDA's receipt of the written request for appeal to review the file and make a determination. The decision of the Director of Community Programs is final.

This appeals policy also applies to clients who may be dissatisfied with the weatherization work after it occurs, within the one-year warranty period. The client must send their written appeal to the local sub-grantees Weatherization Manager or Executive Director within 30 days of receipt of the denial. The sub-grantee must then follow the right to appeal process detailed above.

#### 10.2: Weatherization Readiness Fund

**The Weatherization Readiness Fund (shorthand Readiness) is a line item within the Regular DOE Award.** Weatherization teams are responsible for the work



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done when using the Readiness deferral **remediation** program. IHCD reserves the right to request repayment of funds received for deferral expenses (extenuating circumstances will be reviewed by IHCD). Readiness funds must be listed in the "Readiness" line item of the WAP DOE Budget Form. Funds **cannot** be moved in or out of line item via budget modification.

**Readiness funds may be spent and utilized until the end of the Program Year. A unit coming out of deferral must have the Readiness side of the job completed and be weatherization ready by March 31. No Readiness work may be done on the job after March 31. The sub-grantee will have until June 30, the end of Quarter 1 of the following Program Year, to weatherize, complete, and close the unit out. The unit must be either a DOE or BIL completion.**

#### Budgetary Limits

Each sub-grantee is responsible for limiting expenses to the amounts allowed in the budget line items in the Contract provided for this funding source. In no instance will a sub-grantee be permitted to exceed the total award for a funding period.

The individual unit cap of **\$12,500.00**. In order to exceed the \$12,500.00 cap, sub-grantees must obtain IHCD approval. Requests should be sent to [ivx@ihcda.in.gov](mailto:ivx@ihcda.in.gov) and must include:

- NEAT/MHEAMulTEA run.
- Meaningful Photos
- Moisture Assessment Form
- Job Book

#### Allowable Expenses

The following are allowable expenses within the Readiness program:

- Carbon Monoxide and Fuel Combustion Products (IHCD approval needed)
- Ceiling Repair
- Cleanup or Remediation required beyond scope of WAP.
- Electric Repairs
- Exterior Drainage Repair (landscaping or gutters)
- Floor Repair
- Foundation or Subspace Repair
- Other Hazardous Materials (Asbestos Remediation and Lead Abatement; Pollution Occurrence Insurance recommended)
- Mold/moisture Remediation
- Pests and Refuse
- Plumbing Repair
- Radon
- Roof Repair
- Roof Replacement
- Sewage
- Structural repairs
- Wall Repair (interior or exterior)
- Water Intrusion

#### Benchmarks

Readiness funds do not operate on a benchmarked timeline. Sub-grantees are allocated an amount of funds in accordance with the board approved Allocation Table, and sub-grantees may request additional Readiness funds after expended 80% of their original Readiness allocation.

### V.1.3 Definition of Children

Definition of children (below age): **18**

### 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.

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Native Americans are served in the general population and will be eligible to receive benefits equivalent to the assistance provided to other low-income persons living in Indiana.

## V.2 Selection of Areas to Be Served

Selection of sub-grantees to implement the Weatherization Assistance Program is made in accordance with [10 CFR 440.15\(a\)](#). Preference is given to any sub-grantee that has administered, or is currently administering, an effective program, with program effectiveness evaluated by consideration of factors including, but not limited to:

- Demonstrated ability to achieve projected goals and objectives,
- Quality of weatherization work as demonstrated by past program performance,
- Ability to staff program with qualified, trained, and experienced employees,
- Previous program experience, both in weatherization and other low-income program, and
- Ability to fulfill procedures for fiscal record keeping under Indiana and Federal codes.

**IHCDA contracts with nineteen (19) sub-grantees to cover Indiana's 92 counties. Of the 19 sub-grantees, 18 are Community Action Agencies, and JobSource (DBA Central Indiana Community Action Program) is a unit of local government.**

If one of the current 21 sub-grantees is unable to administer the Weatherization Program in their respective county or counties, or if their program is cited for non-compliance, corrective actions will be taken. With support from IHEDA and the awarded technical assistance provider, the Subgrantee in question will:

- Be placed on a Quality Improvement Plan (QIP). A QIP is prescribed to sub-grantees with a significant number of technical findings and/or program deficiencies. The QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and fully participating in monthly monitoring visits.
- IHEDA also may implement a modified QIP. A modified QIP is prescribed to sub-grantees with less dire, but still numerous, findings and concerns. The modified QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and quarterly monitoring visits.

If the QIP does not result in the correction of all issues in question, IHEDA has the option to either extend the QIP period or remove the Weatherization Assistance Program from the sub-grantee. If the State chooses to remove the weatherization program from the sub-grantee, IHEDA will go through the following actions to ensure continued service in the sub-grantee's service area:

- Removal of the program from the sub-grantee will typically not be done until a suitable organization can be found to administer the program, either on a temporary or permanent basis. Under certain circumstances, it may be necessary to remove the Weatherization Assistance Program (WAP) from a sub-grantee immediately if the territory is not being serviced by the sub-grantee, or if a sub-grantee is not operating under an active Weatherization Assistance Program (WAP) contract. Under these conditions, IHEDA will follow the Request for Qualifications (RFQ) and Request for Proposals (RFP) processes outlined below immediately following this process.
- If funding is removed in part from a particular sub-grantee, IHEDA will exercise discretion in either redistributing that funding to existing sub-grantees or new sub-grantee(s) using the RFP method identified below, or awarding funding to those sub-grantees meeting qualifications under 440.15(a) and are capable of handling additional funds, as evidenced by their grant spending in conjunction with production benchmarks.

### 6.3 Allocations

#### Federal Allocation

DOE and LIHEAP allocations are distributed using the census-based allocation formula. The incentive pool as outlined below may be used at IHEDA's discretion.

- 95% or more of the prior program year contract total must have been expended.
- **Final** Closeout Reports must be submitted and approved within **45 days** after the program year ends. IHEDA Online Claims, IWAP Quarterly and Job Expense Reports and sub-grantee Closeout Form must match exactly when final claims are processed including all line items and averages.
- When available, a 15% average energy savings as determined by realized energy analysis of local sub-grantee production.
- Sub-grantee operating under a Quality Improvement Plan (QIP), a modified Quality Improvement Plan (MQIP) or a Tiered Funding Agreement will be excluded in the incentive pool.
- Sub-grantee must meet the 45-day requirement for vendor and subcontractor payments.

IHCDA may suspend the use of the incentive pool at their discretion.

#### Reallocation of Funds

Sub-grantees failing to meet quarterly **requirements and deadlines** as detailed on their most recent budget form may be subject to funding allocation reduction or redistribution at IHEDA's discretion. Any reallocation will be to ensure proper utilization of Weatherization funds throughout the program year.

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Sub-grantees eligible for redistributed funds will be determined based on, but not limited to, the following criteria:

- Current level of expenditures for all active weatherization related programs
- Timely and accurate submission of claims
- **Timely and accurate reporting of units completed and closed.**
- QIP, MQIP, or Tiered funding status
- Achieved quarterly benchmarks
- Financial and program management capacity

IHCDA will desktop monitor sub-grantee production, expenditure rates, and average cost per unit throughout the life of **DOE, BIL, LIHEAP, and LIHEAP ES** funds. This desktop monitoring will occur in accordance with the funding benchmarks as established by the sub-grantee on the appropriate **DOE, BIL, LIHEAP, and LIHEAP ES** budget form. In cooperation with meeting production and expenditure benchmarks, sub-grantees must maintain the appropriate ACPU of each DOE or LIHEAP funds.

This will include a comparison of production as recorded in IWAP and the amount of grant funds claimed through IHCDAOnline. This will be used to track whether or not sub-grantees are maintaining the proper ACPU for DOE and LIHEAP. Please refer to the IHCDA grant agreements, Appendices of Budget Definitions for additional guidance regarding the average cost per unit and for the administration of Weatherization grant funds.

#### Distribution of Carryover Funding

Sub-grantees on a QIP, MQIP, Tiered Funding or failing to utilize 90% of the last closed out award may not be eligible to receive carryover funding. Carryover funds will be distributed to eligible sub-grantees based on the approved allocation formula.

#### Request for Additional Funds

Sub-grantees may request additional funding. In the case that a request is made, the sub-grantee must send in the request via letterhead to [iw@ihcda.in.gov](mailto:iw@ihcda.in.gov). **Sub-grantees must follow these parameters to be approved:**

- **Sub-grantees must have spent 80% of their allocation or hit the 80% production benchmark before requesting additional funds.**
- **If sub-grantee has not spent or produced to the 80% benchmark, but funds are still needed that exceed the line item, sub-grantees must include this explanation in the request and how the sub-grantee plans to exceed the line item and achieve the 80% benchmarks.**
- **Sub-grantee's Request for Funds via letterhead must have these items.**
  - **An explanation of need for the additional funds.**
  - **Total Allocation requested.**
  - **A breakdown of either a budget or explanation of how these funds will be utilized.**
  - **Signatures of the sub-grantee Wx Manager and sub-grantee Executive Director.**
  - **Sub-grantees may not request more than \$500,000.00 per Request for Funds.**

#### Tiered Allocation

Sub-grantees which have failed to meet program expenditure benchmarks, are experiencing financial difficulty, or appear to have a lack of proper programmatic oversight may be placed on a tiered allocation. While on a tiered allocation, sub-grantees must expend funds according to a structured schedule. The performance benchmarks or expenditure percentages, when possible, are based on the sub-grantee's performance in prior years. Failure to meet expenditure benchmarks may result in a reduction of funding. Tiered allocation may be included as part of the sub-grantee grant agreement, when applicable. Sub-grantees placed on a tiered allocation may be subject to an increased level of claim review.

#### Reduction of Funds

A reduction in funding may occur if IHCDA deems it necessary, or if a sub-grantee:

- Voluntarily returns one or more counties within its service territory.
- Returns substantial amounts of allocated funds.
- Fails to complete a QIP or MQIP within two consecutive program years.
- Fails to meet the expenditure and/or benchmarks.
- Experiences financial or programmatic challenges

#### Request for Qualifications and Request for Proposals

IHCDA may post a Request for Qualifications (RFQ) or Request for Proposals (RFP) to identify organizations suitable to provide services within a particular

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service territory. The RFQ/RFP is designed to increase the service capacity of that territory and to provide additional service opportunities for program beneficiaries. A sub-grantee will be notified if an RFQ/RFP is posted within its service territory.

The goal is to find the most qualified service provider within a territory. It is important to note that RFQ/RFP are open to the general public, as well as current sub-grantees. Eligible applicants will be determined based on the Federal regulations for the WAP. IHCD will make a reasonable effort to assess if there is an adjacent, existing sub-grantee to support service delivery. Sub-grantees are encouraged to seek assistance from other sub-grantees who have the capacity to provide support. This step could result in avoiding the need for the RFQ/RFP process. RFQ/RFP will be issued as IHCD deems necessary. The RFQ/RFP may also be posted for the following reasons including, but not limited to:

- The sub-grantee has been on a QIP/MQIP for more than two consecutive program years.
- Failure to meet expenditure benchmarks for more than two consecutive program years.
- Sub-grantee continues to demonstrate program deficiencies found during monitoring.
- Sub-grantee voluntarily forfeits one or more counties within its service territory.
- IHCD has removed one or more counties from a sub-grantee due to performance issues.
- Sub-grantee is involuntarily removed from a particular area due to fraudulent or major misappropriation of funds; legal action has been taken against the sub-grantee, or the sub-grantee dissolves.
- The territory is not being serviced by the sub-grantee.
- Sub-grantee is not currently operating under an active WAP contract.

#### Award Closeout

Final Closeout Reports must be submitted and approved within 45 days after the program year ends.

IHCDOnline (DMS) Claims and sub-grantee Closeout Reports must match exactly when final claims are processed including all line items and average cost per units.

The **Closeout Report** is composed of the following items:

- **Appendix D Closeout Form** for specific Program
- **IWAP Quarterly Report** for all Quarters (Quarters 1, 2, 3, and 4)
- **IWAP Job Expense Report** for Whole Year (Program Year start date to Program Year end date)
- **Approvals** given by IHCD during the Program Year

The Closeout timeline is as follows:

- Day 0: Program Year ends, IHCD will provide Appendix D Closeout Form for specific Program.
- Day 30: Sub-grantee must either submit a rough draft of the Closeout Report, or email [iwx@ihcd.in.gov](mailto:iwx@ihcd.in.gov) to inform IHCD where they are in the process.
- Day 45: Sub-grantee must submit the final draft of the Closeout Report. Sub-grantees that fail to submit after 45 days will be marked as late and may show up on Monitoring Reports.

IHCD will **reject** Closeout Reports for the following (but not limited to) reasons:

- IHCDOnline Claims and Closeout Form's PY Budget do not match.
- IHCDOnline Claims and Closeout Form's PY Expended do not match.
- Closeout Form shows sub-grantee is over on an expenditure limit (percentage or ACPU)
- Closeout Form does not reflect the Return of Funds
- Closeout Form PY Regular Grant Budget and Expended columns are listed in the PY Carryover Budget and Expended columns, and vice versa.
- Closeout Form shows both PY Regular Grant and PY Carryover added together in the same Budget and Expended column.
- Quarterly Report and Job Expense Report do not match in units completed.
- Quarterly Report, Job Expense Report, and Closeout Form do not match in units completed.
- Closeout Form unit completions do not match the "Total Closed" on the IWAP Quarterly Report

Sub-grantee must correct all errors to be counted as complete in the submission of the Closeout Report.

#### Braiding and Closeout

DOE and LIHEAP work off of different program years, but jobs that braid the two programs may be worked on after the LIHEAP program year ends. The LIHEAP portion of the job must be completed by September 30, and work on the job must be paired with DOE. On March 31, the DOE portion must be

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completed and the whole job closed. This will require two QCIs, one for the LIHEAP portion and one for the DOE portion.

On the Closeout Form, LIHEAP unit completions must match the "Total Completed" units on the IWAP Quarterly Report for LIHEAP in order to be accepted. The job will remain open until the end of the DOE portion is complete and must be closed by March 31.

**V.3 Priorities**

4.1 Client Priorities

All weatherization work must follow Department of Energy rules and regulations unless exceptions are specifically stated in the Policy and Procedures Manual, grant agreement and/or program guidance. Several exceptions are listed in Section 6. Any deviation from DOE guidelines, Indiana Policy and Procedures Manual or the Indiana Weatherization Field Guide SWS-Aligned Edition must have written approval from IHCDA prior to working on a unit. This approval only applies to the unit the request was made for and must be printed and placed in the client file.

Once eligibility has been determined, the sub-grantee must follow its client priority policy. Each sub-grantee will develop written procedures by which it assigns priority eligible households. The written procedure must be reviewed and approved by IHCDA, and the approval will be verified during monitoring. In accordance with [10 CFR 440.16](#), priority must be given in identifying and providing weatherization assistance to households where one or more of the following exist:

- High energy usage
- High energy burden
- Elderly household member(s) (60 years or over)
- Disabled household member(s)
- Household member(s) under the age of 18

Households that do not meet at least one of the priority categories may only be served if all eligible priority households in the Service Provider's territory have been served. Within the above listed priority, sub-grantees may choose the order in which households are served. Priority systems must be applied equally to both renter and owner-occupied units and applied equitably to all areas of the sub-grantee's territory. As defined by the Department of Energy, DOE, in [10 CFR 440.3](#), Definitions, a household with a high energy burden means a low-income household whose residential energy burden (residential expenditures divided by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State.

As defined by DOE's [WIP Energy Burden](#), the Low-Income Energy Burden (% of income) for Indiana, ranges from 8%-10%, therefore High Energy Burden can be defined as an Energy Burden more than 10%.

**V.4 Climatic Conditions**

The climate of Indiana is humid and continental. Summers are typically hot and humid throughout the state, while winters generally range from cool to cold. Precipitation in Indiana is moderate year-round.

Severe weather is common in the state, although there are typically fewer tornado reports in Indiana than in states located in what is known as "Tornado Alley". Lake effect snowstorms also are common on the southeast shore of Lake Michigan, which is located in an area designated as "the Snowbelt" (source: Indiana Department of Natural Resources). Indiana sub grantees use the following weather stations when completing energy audits:

Indiana Heating and Cooling Degree Days

Station Name	State	City	HDD	CDD
CHICAGIL.WX	IL	Chicago	5408	1306
EVANVLIN.WX	IN	Evansville	4076	1612
FTWAYNIN.WX	IN	Fort Wayne	5519	1041
INDNAPIN.WX	IN	Indianapolis	4914	1320
SOBENDIN.WX	IN	South Bend	5568	1144
LOUIVKY.WX	KY	Louisville	3759	1886
CINCINOH.WX	OH	Cincinnati	4529	1306

Source: NOAA

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**V.5 Type of Weatherization Work to Be Done**

**V.5.1 Technical Guides and Materials**

IHCD will ensure maximum energy savings by making certain that unit weatherized in Indiana receive the highest quality of work. The Indiana Weatherization Program accomplishes this by maintaining highly qualified monitors and a progressive training facility. To ensure that procedures are being properly applied, sub-grantees receive specific technical training along with field visits and enhanced training at the field site.

IHCD is in the process of developing two field guides for Multi-Family projects. The first field guide will focus on small Multi-Family (5-25 units), and the second field guide will focus on large Multi-Family (26+ units).

Per the procedure allowed by 10 CFR 440.21b and set forth in WPN 23-6 the following materials/audit procedures have been approved for use in Indiana's program in addition to those allowed by 10 CFR 440 Appendix A:

<b>Table 3 - Special Materials/Audit Procedures Approvals</b>	
<b>Item</b>	<b>Comments</b>
Refrigerators	Approved 1/7/2020
Heat Pump Water Heaters	Approved 1/7/2020
Spray Foam Insulation	Approved 8/18/18
Light Emitting Diode (LED) Lighting	Approved 4/6/17

To meet requirements within [WPN 22-4](#) IHCD added the following language to their sub-grantee contracts:

Sub-grantees shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Indiana, the Indiana Weatherization Field Guide, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantees shall abide by and perform all work in accordance with said document. The sub-grantees's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph.

**Additional language was added as follows:**

Sub-grantees shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client units receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide, Indiana's Weatherization Policy and Procedures Manual, the Department of Energy Weatherization Assistance Program State Plan for Indiana and other State Weatherization directives as applicable. Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantees shall abide by and perform all work in accordance with said document. The sub-grantees' signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph as well as its responsibility to ensure that its Weatherization staff and sub-contractors receive and review these documents and use them to guide the Weatherization work performed in client units by them.

IHCD utilizes the Indiana Weatherization Policy and Procedures Manual and the Indiana Weatherization Field Guide aligned with DOE's Standard Work Specifications to regulate the Weatherization services provided throughout the State of Indiana.

All WAP services provided by Indiana's Weatherization sub-grantees must be performed in compliance with a properly completed NEAT/MHEA/MuTEA run. Additionally, IHCD will allow use of the new DOE Priority List upon sub-grantees discretion as an alternative to existing auditing procedures. All WAP services must also meet or exceed the expectations of Indiana's field guide/SWS and the requirements of [10 CFR 440, Appendix A](#).

The most recent field guide and variances were approved by the DOE in August 2021. A 5-year renewal will be required by August 2026. The Field Guide also includes information and forms specific to Indiana's WAP.

To help prepare Indiana's Weatherization Network for the implementation of the updated field guide and SWS alignment, INCAA, in conjunction with IHCD, will utilize Semi-Annual Technical Trainings and Semi-Annual Manager's Meetings to expose the network to the guides and remind them of implementation timelines. In addition to this training, INCAA will also perform T&TA visits to individual sub-grantees to assist them with understanding and using the aligned document.

IHCD has received DOE approval for Indiana's SWS/Field Guide, IHCD has made the document available to Indiana's Weatherization Network. Indiana's sub-grantees are required to implement and adhere to the aligned document. The links are also available on IHCD's website and on the training center's website and identified within the IHCD Weatherization Policy and Procedures Manual.

Indiana's Weatherization Policy and Procedures Manual and Program Notices contain requirements that sub-grantees follow, among other regulations, Indiana's aligned Field Guide and SWS.

Indiana's Weatherization Policy and Procedures Manual is updated annually at the start of the DOE funding cycle. The major goal in updating the policy manual is to ensure that Indiana's sub-grantees have up-to-date guidance for properly managing Indiana's WAP. IHCD ensures that the information in the policy manual is consistent with Indiana's aligned Field Guide and SWS as well as DOE, HHS, EPA and HUD guidelines where applicable. The policy manual also contains all required forms utilized within Indiana's WAP.

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The most recent update of Indiana's Policy and Procedures Manual was completed in January 2024. This updated manual was supplied to Indiana's Weatherization sub-grantees and INCAA as well as being posted on IHCD's website. IHCD will highlight the updates to the 2024 manual during two Semi-Annual Manager Meetings (SAMMs) conducted in the spring and fall of 2024.

In addition to the above information, IHCD regularly encourages their sub-grantees to reference the wealth of Weatherization related knowledge contained on the NASCSP and DOE websites.

IHCD also considers the training staff at INCAA and the contracted monitor(s) as technical guides and resources. These individuals are available by phone, email, and when possible, local visits. The combined years of Weatherization experience of these individuals make them a valuable resource to Indiana's WAP network.

Field guide types approval dates

Single-Family: 8/4/2021
Manufactured Housing: 8/4/2021
Multi-Family:

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name:
Approval Date: 12/7/2021

Audit Procedure: Manufactured Housing
Audit Name:
Approval Date: 12/7/2021

Audit Procedure: Multi-Family
Audit Name:
Approval Date:

Comments

The approved audit dated 12/08/2021 does not apply to Small Multi-Family (5-24 units). Multi-Family projects with 5 units or more will require submittal to DOE for approval prior to weatherization. Some NEAT/MHEA for Multi-Family may be possible, but will require 100% of units receive monitoring. After IHCD submission and DOE approval, IHCD will begin use of NEAT for Small Multi-Family (5-24 units) projects.

At the time a multifamily project is considered, the Grantee must submit to the DOE PO the necessary material to approve the multifamily project prior to commencing weatherizing the building (e.g., engineering assessment, energy audit input/output).

DOE Priority List

Prior to any weatherization activities, each eligible unit must undergo a whole-unit energy audit by a trained energy auditor. The Auditor will evaluate the health & safety of a unit and conduct field measurements and diagnostic testing to identify areas for energy savings and enhancements.

The data collected may be used to follow the optional DOE-Sponsored Priority List (PL) for a Single-Family Site-Built Home or Manufactured Home for region 3 (cold) or by performing a NEAT/MHEA audit. Links to PLs:

- [WPN 22-8 Attachment 1: DOE-Sponsored Priority List for Single-Family Site-Built Homes](#)
- [WPN 22-8 Attachment 2: DOE-Sponsored Priority List for Manufactured Homes](#)

The optional PL is not exhaustive and does not include every measure that may be cost effective on a site-specific basis. NEAT/MHEA must be utilized if the unit does not meet the basic requirements of the PL. NEAT/MHEA must be utilized:

1. When there is a need of the unit that is not included within the PL.
2. When there are more than 3 stories in height above grade.
3. When the primary heating system is:

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- a. a sealed-combustion natural gas furnace originally rated for >90% AFUE.
- b. a heat pump manufactured after 2006.
4. When the Job will exceed \$500 in incidental repairs meeting the definition outlined in WAP WPN 19-5.
5. When an auditor is unsure how to prioritize measures needed in a unit based upon budget constraints.

When utilizing the PL subgrantees are required to perform all applicable measures noted as mandatory on the PL.

Whether a sub-grantee is using NEAT/MHEA or the PL, all forms listed in section 3.2 Required Forms are required to be complete when applicable and in the file for every unit. This includes the Quality Control Inspection Form. All units are required to receive a quality control inspection by a BPI Quality Control Inspector, as outlined in the Section 7 and WPN 22-4. All quality control inspections must be performed in accordance with 10 CFR 440.16(g) and WAP Memorandum 010. See 4.2 Overview of Weatherization Activities-Quality Control Inspections for minimum requirements.

#### Indiana's Audit Procedures

Subgrantee auditors conduct a whole-home audit and work is completed based on what the results of the audit specify is required to make the unit more energy efficient. All units being weatherized are treated with the whole-home system approach, with the goal of aligning thermal and pressure boundaries on every unit. Additionally, as part of the whole unit audit, extensive testing of combustion appliances is conducted to ensure client and worker health and safety. After the initial audit is completed, Subgrantee crews or contractors may then complete the weatherization work based on a site specific audit using NEAT/MHEA/MulTEA.

The use of a NEAT/MHEA/MulTEA audit ensures that all completed work meets DOE and IHCD expectations for quality and effectiveness. Beginning April 1, 2021, sub-grantees must complete NEAT/MHEA/MulTEA audits on 100% of units, except when using DOE's Priority List.

#### Incidental Repairs

In NEAT/MHEA/MulTEA, (following DOE guidance) an Incidental Repair Measure (IRM) needs to be associated legitimately with an Energy Conservation Measure (ECM). The cost for the IRM is not tied to the Savings to Investment Ratio (SIR) for that ECM but is included in the calculation for the overall job SIR. An IRM or multiple IRMs may be performed as long as the overall job SIR is 1 or greater.

The energy audit approval dated 12/08/2021 applies specifically to small multi-family buildings (**between 2-4 units**) which have individually heated, cooled domestic hot water (DHW) systems using NEAT. Buildings beyond that scope are handled on a case-by-case basis and require MulTEA to be used to perform the audit.

Pursuant to [5 USC 552\(b\)\(6\)](#) of the Freedom of Information Act, Subgrantees eligible to participate in utility programs, or participate in a state or regional-level study, are required to keep confidential any specifically identifying information related to an individual's eligibility application for WAP, or the individual's participation in WAP, such as their name, address, or income information. IHCD and Subgrantee States may release information about recipients in the aggregate and which does not identify specific individuals (For example, information on the number of recipients in a county, city or a zip code does not compromise the privacy of the recipients). Subgrantees interested in participating in utility programs or studies must submit requests to IHCD for approval before entering into any third-party agreements.

#### Timeline

**4/2021:** Grantee required all sub-grantee utilized NEAT/MHEA/MulTEA on 100% of all energy audits. INCAA training center will continue to provide 2-day NEAT/MHEA/MulTEA course as well as needed TTA per request of sub-grantees and as recommended as a result of IHCD recommended monitoring recommendations/requirement.

**4/2022:** IHCD 2022 State Plan and Policy Manual requires all sub-grantees to utilize the web based version of the energy modeling software prior to 4/1/2024. IHCD monitoring will add a monitoring inspection point to the 4/2024 monitoring checklist to ensure compliance by all sub-grantees.

INCAA training center will continue to maintain relationship and contact with ORNL as needed.

These dates are subject to change based on actual timeline vs proposed timeline as outlined in [WAP Memorandum 091](#).

**3/2023:** INCAA training team leader will connect with Oakridge National Laboratory energy modeling software team regarding training for the online platform.

**3/2023:** IHCD and INCAA staff will develop curriculum specifically to the new web-based version of NEAT/MHEA. Once the release is made, the team will meet to review and discuss the Conversion Curriculum to be available in PY 2023.

**3/2023:** INCAA training team will add 2-8 (or more as necessary) events for sub-grantees required web-based training migration.

**4/2023:** INCAA training will continue to offer periodic 2 day NEAT/MHEA/MulTEA course as needed and as requested, indefinitely. INCAA training and IHCD monitoring will continue to provide one-on-one TTA as recommended, requested, or required, indefinitely.

**11/2023:** IHCD and INCAA staff will attend Train-the-Trainer event; IHCD will release memorandum to sub-grantees stating requirement for all energy auditors, quality control inspectors, and Wx Program Managers to attend online platform training prior to 4/1/2024.



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### V.5.3 Final Inspection

Each sub-grantee, or its authorized representative, is required to complete a pre- and post-inspection of each unit weatherized.

#### 4.2 Overview of Weatherization Activities

Each unit that receives weatherization will have measures installed that are specific to the needs of the unit; however, the process by which those measures are determined is standard across the state as outlined within the DOE-approved NEAT/MHEA/MulTEA software or the Region 3 DOE-approved Priority List. The following activities must be completed on every unit that is weatherized:

- **An initial Energy Audit to determine which weatherization measures are most appropriate for the client's unit. The initial audit also includes a health and safety evaluation.**
- **Health and safety measures** must be completed to ensure the safety of the occupants and weatherization personnel working in the client's unit. Detailed health and safety guidelines are found in Section 4.3 of this document.
- **Energy Conservation Measures (ECMs)** to increase the energy efficiency of the unit and reduce the household's energy burden.
- **Client education** to provide the occupants with the information and tools they need to protect the weatherization materials installed and actively participate in saving energy in their units.
- **An interim inspection** is required on all units, except 100% electric without fireplaces. The purpose is to evaluate work performed on the mechanical systems to evaluate all health and safety and **workmanship** issues. Interim inspections must be performed by an Energy Auditor, Quality Control Inspector, or ISV-Certified Retrofit Installer Mechanical. **If the HVAC professional is not ISV-certified, they must receive a third-party interim inspection the day the work is completed. An ISV-certified installer must have a third-party inspection completed prior to payment.** IHEDA prohibits anyone inspecting their own work that results in payment from the sub-grantee.
- A **QC Inspection** to ensure that work was completed in a competent and professional manner with the standards set forth by DOE and IHEDA.

#### Previously Weatherized

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3.

**DOE:** The following actions must be taken on each DOE unit prior to weatherization services to ensure that unit that have received weatherization services within **15 years** are not re-weatherized:

- Each client's address must be checked in IWAP for previous weatherization within **15 years**.
- Each client must be asked whether their unit has been weatherized within **15 years**.
- A visual inspection of each unit must be performed by an energy auditor to identify if previous weatherization measures have been performed.

**LIHEAP:** For units utilizing LIHEAP funds, sub-grantees may provide weatherization services to a unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP program year. The following actions must be taken on each LIHEAP unit prior to weatherization services to ensure that units that have received weatherization services within **5 years** are not reweatherized:

- Each client's address must be entered into IWAP to identify whether the client's unit has been previously weatherized and determine what the date is.
- Each client must be asked whether their unit has been weatherized previously and when the weatherization took place.
- A visual inspection of each unit must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the sub-grantee may proceed with weatherization services guided by DOE rules and funding on the unit. If any of the above actions indicate or suspect that weatherization services have previously been rendered in a unit, the sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to the address. "Rework" is different from a "re-weatherized unit". See Section 4.7.

#### Overview of Unit Evaluations

Housing stock in the Weatherization Assistance Program that may be eligible for full service from subgrantees may undergo the following evaluations. This not to be confused with an Energy Audit Process, which is an approved statement from DOE constituting what is permissible in Indiana's Weatherization Energy Audit. Should Subgrantees inquire as to what IHEDA's Energy Audit Process is currently approved for, they can obtain it [here](#). The following details an overview process for Subgrantees to follow to ensure a home is audited, Weatherized, and inspected according to IHEDA's DOE-approved plan for Weatherization services.

#### Pre-Audit (optional)

A Pre-Audit may occur prior to the Energy Audit on an applicant's house to ensure the home is in good condition to participate in the program. This should include determining the habitability and the ability to perform work on the unit. A Pre-auditor may recommend a deferral to the Weatherization manager so long as they have completed the required training to be determined a Pre-Auditor. The deferral policy must always be followed (refer to section 10). An appeal process for the decision is required and the applicant must be informed sufficiently of this mechanism so that they may prepare their home to participate in the program.

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### Energy Audits

Prior to any weatherization activities, each eligible unit must undergo a whole-home audit by a trained energy auditor (as defined in Section 7). Audits are conducted according to the DOE-approved NEAT/MHEA/MuITEA audit.

### Interim Inspections

An **interim inspection** is required on all units, except 100% electric without fireplaces. The purpose is to evaluate work performed on the mechanical systems to evaluate all health and safety and **workmanship** issues. Interim inspections must be performed by an Energy Auditor, Quality Control Inspector, or ISV-Certified Retrofit Installer Mechanical. **If the HVAC professional is not ISV-certified, they must receive a third-party interim inspection the day the work is completed. An ISV-certified installer must have a third-party inspection completed prior to payment.** IHCD prohibits anyone inspecting their own work that results in payment from the sub-grantee. **Interim inspector must complete, sign, and date the appropriate form(s). Additionally, the interim inspector must include applicable notes and notate if the inspection passes or fails.**

### Monitoring

The Program State monitor evaluates the NEAT/MHEA runs for all files reviewed. The Program Monitor also reviews the NEAT/MHEA database. This review includes fuel cost, measures cost against the current pricelist, setpoints, lifetime of the measures, and that the proper measures are checked "active" as required.

### Quality Control Inspections

IHCD's weatherization program requires all weatherization work be verified by a Quality Control Inspector (QCI) or an interim inspection before invoices are approved. This is verified during monitoring by checking the date on the inspection forms with the date on the payment. As mentioned by OCS, this is a requirement by IHCD, and payment after inspection is verified during annual Program monitoring.

All units are required to receive a quality control inspection by a BPI Quality Control Inspector, as outlined in the Section 7 and [WPN 22-4](#). All quality control inspections must be performed in accordance with [10 CFR 440.16\(e\)](#) and [WAP Memorandum 010](#). The minimum requirements are:

- All applicable forms signed by QC inspector (with name printed also)
- Date the QC inspection was completed
- Sign off by the QC inspector verifying the scope of work and it is in the file.
- Identify corrections necessary (and full cycle of verification)
- Review/verify all appropriate measures were on work order
- Identify/verify documentation and justification for any measures not installed are in the file.
- Diagnostics at Inspection
- Sign off by the QC inspector verifying bid(s) against invoices; audit cost inputs against invoice actuals and make note of any areas where there is deviation from bid/audit input
- Client Signature – sign off the work was accomplished
  
- All materials have been properly installed

If a unit cannot be entered for QC inspection, the client file must contain documentation clearly stating the reason the QC inspection could not be completed. A Provisional Closeout may be approved by IHCD. In order to receive a Provisional Closeout, the following must be documented in the client file:

- Three verifiable attempts must be made to schedule a QC inspection (one attempt must be a certified letter). Certified Letter to client should include:
  - Documentation of missed scheduled appointments by the client and/or the client refusal to allow entry to complete final work or perform an inspection.
  - Language stating that the client will have a minimum of seven working days to contact the sub-grantee to allow re-entry to complete work and/or the QC Inspection.
  - Consequence of not responding within the 7-day period: all warranty and liability associated with materials installed and work performed will be forfeited whereas the client releases the State of Indiana, the Indiana Housing and Community Development Authority, and the Weatherization Administrator its agents and employees from any and all liability for losses, damages, costs, personal injury, death, or other claims because of or in relation to the installation, location, or malfunction of measures performed.
  - Client's right to appeal the consequence in writing to IHCD within ten (10) business days of receipt of letter. A letter or email must be sent to IHCD, attention of the Director of Community Programs, 30 South Meridian Street, Suite 900, Indianapolis IN, 46204.
- The request should detail the specific circumstances related to the issue and why access to the unit has been denied or is unavailable.
- All appropriate documentation, including communication with the client, should be included with the request.

Units approved for a Provisional Closeout will not be allowed to be counted as a completion. However, costs can be spread across grant completions and claimed to IHCD. IHCD will respond in writing to approve or deny the request for a Provisional Closeout or to request additional information. Until the written approval from IHCD is received, final claims cannot be submitted for the unit.

### Client Refusal to Sign

Units that have had a QCI conducted but the client refuses to sign off on the work, the unit can be counted as a completion upon approval by IHCD. In order for IHCD to consider the unit a completion, sub-grantees must send the entire client file with personal identifying information (PII) redacted and a detailed explanation regarding client refusal to

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sign to [ivx@ihcda.in.gov](mailto:ivx@ihcda.in.gov). It is recommended that Weatherization sub-grantees, whenever possible, complete the QC inspection process on the last day that contractors or crews will be in the unit, as this eliminates the need to gain access to the unit after services have been rendered.

#### Failed Quality Control Inspection

If a QC Inspector and a sub-grantee cannot come to a mutual agreement regarding a failed QC inspection, a neutral third party QCI must be utilized to make the determination. A neutral third party QCI cannot be an employee of the sub-grantee. The QCI could be from another subgrantee or subcontractor.

#### Client Education

Providing client education is mandatory. The client education must include but is not limited to the education required in [WPN 22-7](#) and IHCD's State Plan for health and safety. Additionally, education about energy use and energy conservation must be shared with each household throughout the weatherization process. Materials can be found at [Intelligent Weatherization](#), [NASCS](#), and [EPA](#).

#### Fuel Switching

DOE allows the changing or converting of a furnace/appliance (water heater) using one fuel source to another on a limited, case-by-case basis only." [WPN-23.6](#). Sub-grantees interested or needing to perform a fuel switch for furnaces or water heaters must request permission from IHCD's Community Programs Weatherization Team Lead. Each request must be submitted via e-mail and contain thorough documentation explaining why the fuel switch is deemed necessary. The fuel switch and subsequent work on the unit cannot take place until written approval is issued by IHCD. IHCD's response must be placed in the client file for future reference, whether the request was approved or not. IHCD will not assess the request for fuel switching without the following information:

- The reason(s) the fuel switch is needed.
- The current fuel source.
- The new or different fuel source
- CAZ testing results
- Draft testing results where applicable and digital photographs where possible
  - NEAT/MHEA/MulTEA run.

When utilizing DOE funding on the project the sub-grantees must follow normal audit procedures, which includes proving the unit will not call as an ECM (refer to NEAT/MHEA/MulTEA manual for details). The requirements outlined above apply to both DOE and LIHEAP funded Weatherization units. All fuel switches require approval from DOE and IHCD. **Any fuel switch using DOE funding will need to follow DOE rules for approval from IHCD and DOE, any other funding source used for fuel switches requires approval from IHCD. If a subgrantee determines the need to install a heat pump, as a fuel switch or otherwise, outside of DOE's SWS "energy star certified or equivalent" rating, they may do so with outside funding with approval from IHCD. For those wishing to utilize ERR under the EAP program, please refer to the following EAP ERR policy.**

#### Emergency Repair and Replace (ERR) - EAP

#### Furnace or Wood Stove Emergency Repair and Replacement (ERR)

**Use of Emergency Repair and Replace funds are funded directly by EAP. All repair and replacement of furnaces and wood stoves must follow EAP guidelines and be determined an emergency. It is strongly encouraged that contractors working on behalf of the sub-grantee report the need for ERR funds to the agency for determination of eligibility. More information on EAP's ERR offerings can be found at the subgrantee administering the program or through the policy [here on page 73](#).**

#### 8.5 Monitoring Reporting Process

##### Monitoring Report

Each sub-Grantee will receive a copy of the monitoring report within 30 days from completion of the exit conference. The report will identify such areas as training and technical assistance recommendations, summary of program /technical and client file/QCI findings and concerns, funding utilization per client, and NEAT/MHEA/MulTEA review. **Subgrantee's are not responsible for findings and concerns requiring maintenance needs unrelated to the Weatherization Services performed.**

- **Findings** should be classified as critical in nature and may require immediate corrective action by the sub-grantee (e.g., Health and Safety issue).
- **Concern** do not require immediate action by the sub-grantee and in many cases may not require action at all. These tend to be low to medium intensity issues.

The level of severity (classification as a finding/concern) may be based upon conditions in the field at the time of monitoring.

Findings and Concerns will be noted as:

- **Incomplete Work:**
  - Concern: Incomplete work that is minor, that has little or no cost, does not pose a health and safety issue and is not part of past trends for the agency, and depending on the circumstance may not be required to be repaired.

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- Finding: Incomplete work that includes past trend(s), is associated with a noteworthy cost, may affect the potential energy savings, or is a health and safety issue. These will require remediation.
- **Questioned Costs:**
  - Questioned costs are clarified with the sub-grantee. When deemed unallowable, they will be required to be returned or removed from DOE funding. Questioned costs are subject to additional review.
- **Client Complaints**
  - When clients complain at the field monitoring, each complaint will be reviewed for validity.
- **Major Workmanship Issues**
  - Finding: Major workmanship issues must be resolved by the sub-grantee.
- **Minor Workmanship Issues**
  - Concern: If the minor workmanship issue is part of past trends, then it is treated as a major workmanship issue.

#### Monitoring Report Response

The sub-grantee must either **accept** the submitted report or provide an **Informal Appeal** (see Monitoring Appeal Process) to specific findings and concerns. The sub-grantee will have 10 days from the receipt of the monitoring report to submit the **Informal Appeal** to IHCDA.

Any corrective action taken by the sub-grantee is considered an acknowledgment of the finding or concern. Failure by the sub-grantee to respond in writing to the monitoring report **within** the established **10-day** deadline may result in claims being held by IHCDA until the proper response is received.

#### Monitoring Appeals Process

If the sub-grantee informally appeals (disagrees with) any item on the WAP Monitoring Report, the sub-grantee must send an informal appeal via email to [ivx@ihcda.in.gov](mailto:ivx@ihcda.in.gov), to IHCDA's **Weatherization Assistance Program (WAP) Manager**, and contracted Monitors within 10 days of the receipt of the monitoring report. In the subject line it should say "Informal Monitoring Appeal". **The appeal must provide detail of the basis for the appeal.**

- **Upon receipt of the Formal Appeal IHCDA will have 10 days to request from the monitor or agency any additional documentation necessary to make an informed appeal response.**
- **The monitor or agency will have 10 days to provide the requested additional documentation.**
- **After receiving the requested additional documentation, IHCDA will have 15 days to provide a response to the Informal Appeal.**
  - If IHCDA **upholds** the sub-grantee's **Informal Appeal**, the sub-grantee will receive a revised monitoring report that will be used to ensure all actionable items are completed.
  - If IHCDA **does not uphold** the sub-grantee's **Informal Appeal**, (in-full or in-part) the sub-grantee will receive an **IHCDA Informal Appeal** reply.
  - If the sub-grantee **agrees** with the reasons described in the **Informal Appeal** reply for not upholding the appeal, the sub-grantee's **must respond to IHCDA within 10 days acknowledging their agreement.**
  - If the sub-grantee **disagrees** (in-full or in-part) with IHCDA's **Informal Appeal** reply, the sub-grantee may submit a **Formal Appeal** in writing to the Director of Community Programs within 10 days of receiving the **Informal Appeal** reply.
  - The Director of Community Programs will review the formal appeal and provide a written decision response within 30 days of receiving the **Formal Appeal**. This decision will be final.

#### Monitoring Completion

If all parties are in agreement with **the report as written**, the subgrantee will have 30 days after the monitoring session to respond, with an additional 15 days to close out the session, making for a 45-day closeout period.

**Once the appeal process is finalized, and all corrective actions have been completed, the sub-grantee will receive a Monitoring Completion letter from the monitor within 30 days.**

#### Independent QCI

The QCI is an individual that has no involvement in the prior work on the unit, either as the auditor or as a member of the crew. If this method is utilized, IHCDA will monitor a minimum of 5% of DOE completions.

#### Energy Auditor/QCI

- A. The auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the unit. Because this model does not allow for an independent review of the audit on every unit, IHCDA is required to increase the percentage of quality assurance reviews to ensure that audits are being performed consistently and correctly. IHCDA will monitor a minimum of 10% of DOE completions.
- B. Inspectors shall not participate in professional activities involving a conflict of interest. A conflict of interest occurs when an inspector is inappropriately motivated by any

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financial, personal, or professional incentive other than the production of a professional report that clearly, completely, and usefully reflects the conditions observed during the audit. Inspectors shall avoid, whenever possible, even the appearance of a conflict of interest and shall disclose all potentially questionable associations and relationships in advance to IHCD.

- C. Inspectors shall not inspect work performed by organizations under arrangements whereby any compensation or future referrals to the inspector depend on or are influenced by the findings of the report. Compensation includes direct and indirect remuneration as well as substantial gifts and favors. Inspectors shall not accept any form of compensation for recommending products or services to clients or other parties having an interest in the inspected work.
- D. Additional documentation may be required by IHCD if necessary, including:
  - Documentation of the independent status of the Quality Control Inspector
  - Documentation outlining any involvement of the QCI in the audit process
- E. Quality control inspections are subject to IHCD assessment of effectiveness and compliance with program inspection policies and monitoring will include documentation of any findings related to the quality of the inspection and impartiality of the inspection process.
- F. IHCD will maintain tracking of all sub-grantee QCI activities to include all aspects of the sub-grantee-developed QCI process, subsequent corrective actions, and final outcomes. The QCI auditor cannot be the manager.
- G. If QCIs are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or sub-grantee staff. Limited remedial training may be provided by IHCD staff on-site at the time of the monitoring, or more extensively through the training facility at INCAA if necessary. Alternatively, IHCD staff may provide more comprehensive training at a later date. Repeated non-compliance issues after remedial training may result in the agency being placed on QIP, or a reduction in funding. All compliance issues found with QCIs are subject to IHCD review, and may result in the QCI not allowed to perform inspections for Indiana WAP.
- H. Sub-grantees may not be considered if one or more of the following program deficiencies are identified:
  - General Administrative Deficiencies that include late interim or closeout reports, late completion reporting (data entry), lack of procurement policies, outdated cost allocation plans.
  - Fiscal Reporting issues that include failure to claim expenses on a monthly basis, repeated occurrences where expenses are submitted more than 45 days after the invoice or purchase order date, contractors paid beyond the 45 day requirement.
  - Staff or contractors fail to receive proper certifications.
  - Average cost per unit exceeds cost guidelines set forth by DOE or HHS (LIHEAP) funding.
  - At least 25 percent of client files reviewed are deemed ineligible.
  - High risk outcome on the Risk Assessment.

Sub-grantees are required to ensure that each weatherization completion receives an appropriate and properly executed final inspection. This inspection must be performed by a BPI-certified Quality Control Inspector (QCI). IHCD, as part of their regular monitoring procedures, will review final inspection forms, sub-grantee inspection processes and completed units to ensure the inspections are being performed correctly and in a manner that meets DOE expectations as outlined in [WPN 22-4](#). Failure by the sub-grantee to utilize the QCI process correctly may result in the associated completion(s) being considered unallowable, and all associated cost being returned to IHCD. Should multiple instances of poorly performed inspections be found, IHCD will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Should the QIP fail to correct the issues, IHCD will pursue further remedies for noncompliance as allowed in their Weatherization Policy and Procedures Manual and the sub-grantee grant agreement (contract).

Units that have had a QCI conducted but the client has not signed off on the work, as long as three verifiable attempts have been made and recorded, that unit can be counted as a completion, upon approval by IHCD.

#### Terms and Conditions for Return of Funds in Monitoring

A return of funds transaction is initiated when paid grant funds need to be returned due to a monitoring or financial audit issue. A return of funds must be paid out of private agency funds. These funds will show on the claim summary but will not be returned to the sub-grantee's available budget. The state will reuse these funds in future allocations.

Some examples of disallowed costs might include, but are not limited to:

- Exceeding 25% of total expended funds on Health & Safety measures.
- Exceeding the current average cost per unit.
- Interest expenses paid with DOE funds.
- Rework expenses except when specifically authorized by IHCD.
- Disallowed equipment and vehicle purchases with DOE funds.
- Any measure not cost-justified.
- Any repair that exceeds the incidental repair measure limit for materials and labor.
- Expenditures incurred for the installation of measures on a completed unit outside of the client's eligibility period.
- Expenditures incurred for the installation of measures on a completed unit outside the contract period.
- If IHCD cannot determine an expenditure is allowable because of inadequate records or documentation, IHCD will request documentation. If documentation cannot be produced, the costs will be disallowed.

Sub-grantees are required to correct any deficient work identified by the Quality Control Inspector before the work is submitted for reimbursement. As a result of technical monitoring inspections, sub-grantees with incomplete work and workmanship issues will be allowed to rectify the problem before disallowances are levied. Sub-grantees will be asked to reverse or repay costs that are determined to be unallowable. If questioned costs are significant, an investigation may be performed, and the sub-grantee may be subject to additional review.

When deficiencies are identified, sub-grantees may be required to submit a corrective action plan within 30 days of receipt of the Technical Monitoring Report. The submission must include a description of the corrective actions to be taken as well as a timeline for implementation of those actions. The Corrective Action Plan will be submitted to IHCD's Program Manager for review and approval.

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When deficiencies persist, IHCD may take any of the following actions: place the agency on a Quality Improvement Plan, designate the sub-grantee as high-risk, place the sub-grantee on a watch list, or suspend the sub-grantee's weatherization program in response to recurring major findings or persistent noncompliance with IHCD and/or DOE WAP policy.

A sub-grantee may appeal a return of funds or repayment following the monitoring appeals policy. Until further notice, all return of funds and repayments will be considered by the Director of Community Programs before being issued to sub-grantees.

IHCD, in cooperation with INCA developed a standardized final inspection form to be used by Indiana's sub-grantees and technical monitor. IHCD has attached a copy of this QCI form to the SF-424. To meet the Quality Control Inspector (QCI) requirement as outlined in [WPN 22-4](#) Indiana currently has 65 certified QCIs in place. All 21 of Indiana's sub-grantees either have a certified QCI on staff, or have made contractual arrangements to meet the requirements outlined in [WPN 22-4](#). IHCD will continue to provide testing opportunities within INCA's Technical and Training Assistance contract to provide an ongoing opportunity for ongoing QCI testing. IHCD hopes to continue adding QCI certified individuals throughout the 2024 Program Year.

In addition to the QCIs mentioned above, three trainers from INCA have achieved the QCI certification.

Currently, IHCD only pays for the first QCI testing attempt. If the candidate fails the first attempt the subsequent attempts are paid for either by the sub-grantee or the contractor. To facilitate the additional testing, INCA incorporates test dates within their training schedule.

IHCD's Weatherization sub-grantees are required to track and document all training and certifications of both Weatherization staff and sub-contractors. IHCD reviews this information during monitoring to ensure that all requirements are being met. Tracking the QCI certifications and qualifications at each sub-grantee is a part of this monitoring process.

Indiana, in cooperation with INCA, provides the opportunity for individuals to test for DOE's national Energy Auditor Certification through BPI. IHCD is encouraging their network to test for this certification. Indiana currently has thirty-four (34) individuals who have successfully obtained the DOE/BPI Energy Auditor Certification.

## V.6 Weatherization Analysis of Effectiveness

Starting in 2010, IHCD and INCA transitioned their method of assessment of weatherization effectiveness from Princeton Score keeping Method (PRISM) to work in conjunction with the Building Energy Analysis of Consumption (BEACon) system. This combination allows IHCD to review a larger selection of units for energy efficiency improvements, produces better electric savings information, and cuts down on administration costs in the long run since information can be gathered electronically. The BEACon reports were sent to each sub-grantee for them to review and use to measure their energy savings progress. Additionally, training was provided to the Indiana Weatherization Network during INCA's annual CAP conference in July 2019. This training taught the attendees how to read and use these reports.

When available, the reports generated by the BEACon system provide results that are both based upon state wide averages as well as individual sub-grantees. These results are shared with each sub-grantee so that they know how they are performing. The information not only provides overall energy savings but provides indicators as to how each energy auditor, crew and contractor are performing. IHCD strongly encourages each sub-grantee to utilize the information as a tool to identify where program improvements are needed.

IHCD reviews the reports generated by the BEACon system to assess incentive pool participation, to gauge performance of sub-grantees in relation to energy savings, to gauge success of Indiana's WAP as a whole and project future needs.

Indiana may opt to utilize an incentive pool process in conjunction with issuing funding allocations that promotes energy savings and sound program management. DOE and LIHEAP allocations are distributed using the census-based allocation formula for 85% of Weatherization sub-grantees contracted funds. The remaining 15% of the allocation is distributed out to those Weatherization sub-grantees who meet all of the following criteria:

1. 95% or more of the prior program year contract total must have been expended.
2. Close Out Reports must be submitted and approved on time (within 45 days after the program year ends). IHCD DMS, IWAP Quarterly, Job Expense and sub-grantee Close Out report must match exactly when final claims are processed, with all line items and averages being within allowable limits.
3. A 20% average energy savings as determined by PRISM/BEACon analysis of local sub-grantee production.
4. No Weatherization sub-grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the incentive pool.
5. Weatherization sub-grantees must demonstrate regular use of the XRF for lead based paint testing.
6. Sub-grantee must meet the 45 day requirement for vendor and sub-contractor payments.

### Sub-grantee Effectiveness:

To assess sub-grantees' procedural effectiveness, IHCD monitors use a combination of monitoring and T&TA. Sub-grantees with deficiencies may be required to attend training specific to the sub-grantee's needs. Sub-grantee deficiencies and subsequent training include but are not limited to: lack of managerial oversight, inadequate technical, fiscal and database management, and client education procedures.

In addition, IHCD and sub-grantee personnel continuously evaluate the effectiveness of training provided through IHCD and the technical assistance provider's (INCA) training program. This is done through a combination of monitoring of sub-grantees, feedback at Semi-Annual Managers Meetings, and meetings with Indiana's Weatherization Training Center (INCA).

IHCD reviews all reports prepared by the monitor(s) and IHCD's contracted monitoring team prior to monitoring reports being sent to the sub-grantees. This review allows IHCD to stay current on the issues being faced by each sub-grantee and work toward resolution of problem or weak areas. IHCD performs risk assessments on each sub-grantee in alignment with [2 CFR 200](#) in order to improve areas of weakness.

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## V.7 Health and Safety

Please see the attachment **2024** Indiana Health & Safety Plan in the SF-424 Application documents.

## V.8 Program Management

### V.8.1 Overview and Organization

The Indiana Weatherization Assistance Program is administered by the Indiana Housing and Community Development Authority (IHCD). IHCD is a quasi-governmental agency that administers numerous programs including the Low-Income Housing Tax Credit program, First-Time Home Buyer Assistance, Community Development Block Grant, HOME Investment Partnership funds, Emergency Shelter Grant, Low-Income Household Energy Assistance Program, Community Services Block Grant, and Neighborhood Stabilization Program, among others. IHCD is located within the Family of Business of the Indiana Lieutenant Governor's Office. IHCD is located in Indianapolis, IN.

IHCD staff responsible for the oversight of the Weatherization Assistance Program in Indiana

- Kyleen Welling – Chief of Staff and Chief Operating Officer
- Emily Krauser – Chief Deputy of Programs
- Greg Glassley – Director of Energy & Utility Programs
- **Rodd Hale – Weatherization Manager**
- Josh Pearson – Weatherization Grants Analyst
- **Ethan Scott – Weatherization Engagement & Policy Analyst**
- **Jamison Washington – Weatherization Multi-Family Project Lead**
- Joely Pope – Energy & Utility Programs Special Projects Manager
- **Dana Schoeph – Energy & Utility Programs Data Analyst**
- **Henry Lowry – Energy & Utility Programs Rebates Analyst**
- **Emily Nash – Energy & Utility Programs Special Projects Analyst**

The primary point of contact for Indiana's WAP is Greg Glassley.

IHCD utilizes the Indiana Community Action Association (INCAA) as the Weatherization Training Center for Indiana. INCAA is IREC accredited in all four of DOE's Job Task Analyses and has three IREC Certified Master Trainers. INCAA is located in Indianapolis, IN.

**Hutson Homes will provide programmatic monitoring for 14 sub-grantees, and Streamlined Solutions will provide programmatic monitoring for 4 sub-grantees in the grant cycle.** IHCD will review reports before they are distributed to Subgrantees.

Rob Durham, of The Inspector Inc. has provided technical monitoring for all **nineteen (19)** Weatherization Subgrantees in grant cycle. Rob Durham will continue to perform the technical monitoring in grant cycle. IHCD will review reports before they are distributed to Subgrantees.

Indiana utilizes **nineteen (19)** sub-grantees to administer the Weatherization Assistance Program (WAP). **Eighteen (18)** sub-grantees are Community Action Agencies; one (1), JobSource, (DBA CICAP) is a unit of local government.

Indiana plans to develop incentives to encourage minority and women owned businesses to be involved with the Weatherization program.

### V.8.2 Administrative Expenditure Limits

**Administration – Actual costs**, associated with administration include *fiscal, executive, support operations, rent and utilities, supplies, copying, etc.* This applies to staff engaged in program administration.

Indiana's sub-grantees may spend up to 10% of their total non-TTA award on administrative costs for **PY 2024-2025**. **Sub-grantees who receive less than \$350,000 do not receive additional administration funds on top of their 10% allocation. Sub-grantees may request additional funds to their total award that may increase their administration funding allocation while not exceeding the 10% cap.**

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IHEDA will retain 5% of the Total Award Administration allowed amount for Grantee use.

### V.8.3 Monitoring Activities

#### 8.1 Quality Assurance

The primary purpose of monitoring visits is to assist the Weatherization sub-grantee in providing high quality energy conservation services to low-income people. Monitoring also provides compliance review and information sharing to Weatherization sub-grantees to ensure:

- Quality, comprehensive weatherization services are provided consistently throughout the state.
- Healthy, safe, and energy efficient housing improvements are provided to low-income households.
- Program accountability and efficiencies are in effect and verifiable.
- Federal, State and IHEDA standards and regulations are followed.

#### 8.2 Standards & Practices

IHEDA will conduct fiscal, technical, file, and program monitoring annually. IHEDA will review reports before they are distributed to sub-grantees.

#### Program Monitoring

The program monitoring includes a review of Program Administration, Procurement, Training, Competencies and Certifications, Database Input, Fiscal Information and Client File Review. At least 10% of completed DOE client files will be reviewed. Each area of the Program Review is explained in more detail below:

- **Program Administration** – IHEDA will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client redetermination.
- **NEAT/MHEA/MulTEA Database reviews will include the following:**
  - Price list is up to date and current.
  - Fuel prices are current
  - Set points are accurate
  - Lifetime of measures are correct
  - Measures are active
- **Procurement** – This section covers materials procurement and selection; contractor selection procurement, and evaluation; price lists and written procurement standards. Reference the procurement section in this manual for additional information.
- **Training, Competency and Certification** - IHEDA monitors will review whether the Weatherization Program Manager is using appropriately trained/competent staff to perform various job functions. The use of subcontractors will be reviewed to determine compliance with job function training requirements as outlined in this manual. Monitors will also review contractors for compliance with local licensing standards. Sub-grantee lead based paint practices and compliance with EPA and HUD regulations will also be reviewed.
- **Database Input** – A selection of the client files is checked to ensure information from the client files is reported in the IWAP database accurately and completely.
- **Fiscal** – IHEDA will perform financial monitoring for their Weatherization sub-grantees. The financial monitoring will occur in conjunction with the Weatherization Program/File Monitoring. IHEDA will check for appropriate payment processing as specified in this manual. The monitor will review the following:
  - Grant utilization to ensure funding is utilized in allowable combinations.
  - Sub-grantees have properly tracked and utilized Program Income
  - Contractors are paid within 45 days.
  - Back-up documentation provided with claims is appropriate.
- **Client File Review** – Files will be pulled at random from completions entered into the IWAP database. A minimum of 10% of all completed DOE client files will be reviewed. Find Program Monitoring Tool utilized by monitors can be found at MyIHEDA's [Program Partners](#). *Appendix F – 2024 Monitoring Tool Template*. These files will be reviewed for:
  - Correct forms
  - Accurate information
  - Work processes
  - Eligibility verification
  - Appropriate documentation and allowability of deferrals
  - Each NEAT/MHEA/MulTEA run is checked to verify the cumulative SIR is equal or greater than 1.



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- **Training and Technical Assistance (T&TA)** – The purpose of T&TA is to provide sub-grantees with assistance in the technical aspects of the weatherization program. IHCDA monitors will provide consultation while on site. If sub-grantee personnel feel it necessary, and time allows, IHCDA monitoring personnel may be available for T&TA visits to the sub-grantee.

IHCDA's Director of Internal Audit reviews all subgrantee financial audits annually.

#### Technical Monitoring

IHCDA will perform real-time Technical Monitoring for each Weatherization sub-grantee annually. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDA. The sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the QCI attests to the level of quality, professionalism, and appropriateness of all measures performed. Technical Monitoring will also review and inspect invoiced materials, justification for the number of labor hours charged, initial and final audit detail, and adherence to technical standards and accuracy of sub-grantee diagnostic testing.

Monitors will use the current QC Inspection Form. A minimum of 5% of all DOE completed units will be monitored for those sub-grantees utilizing an Independent QCI, and a minimum of 10% of all DOE completed units will be monitored for those sub-grantees with an Energy Auditor/QCI. IHCDA reserves the right to monitor any unit including Capital Intensive unit(s). Sub-grantee responses to technical findings must include documentation verifying that all findings and concerns have been corrected. IHCDA when possible, will incorporate in-progress visits to client units. IHCDA's Technical Monitoring visits will include an evaluation of the QCI's process to ensure compliance with [WPN 22-4](#).

Sub-grantees are required to ensure that each Weatherization completion receives an appropriate and properly executed QC inspection. This inspection will be performed by a BPI certified QCI. Failure by the sub-grantee to utilize the QCI process correctly may result in the affected completion(s) being considered unallowable and all associated cost being returned to IHCDA. Should multiple instances of poorly performed inspections be found, IHCDA will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Further action will be taken should the QIP fail to improve performance.

- **Field Inspections** (See Technical Monitoring below) – IHCDA will conduct on-site inspections of a sample of units pulled from the file review or at random from the IWAP database. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDA. The local sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the BPI certified Quality Control Inspector (QCI) attests to the level of quality, professionalism, and appropriateness of all measures performed. The field inspection will cover the appropriateness of Base Load, Shell, and Health and Safety measures. During the field inspection, IHCDA staff will be checking for all invoiced materials, justification for the number of labor hours charged, initial and final audit detail, adherence to technical standards, and accuracy of sub-grantee diagnostic testing.

#### 8.3 Monitoring Process

IHCDA staff and contracted monitors prepare the monitoring schedule and contact each sub-grantee to schedule the appointments. Upon completion of the monitoring, the monitor(s) will perform an exit conference to summarize issues found during monitoring, as well as to offer best practice recommendations. For Technical Monitoring visits, an exit conference may be delayed, conducted via telephone, webinars, etc.

#### Program Monitoring Specific

Notification for program monitoring will include client files, financial information, procurement, training, etc.

#### Technical Monitoring Specific

Requests for Technical Monitoring include a list of units to visit as well as alternates when clients are unavailable. Sub-grantees are prohibited from revisiting client units chosen by IHCDA for Technical Monitoring. Units that are found to have been "revisited" prior to the Technical Monitoring visit will result in at least one additional unit being selected for monitoring. IHCDA may, at its discretion, require a Return of Funds for all expenses associated with the revisited unit thereby removing it as a completed unit. IHCDA monitoring staff may use alternate procedures or request additional information to verify compliance when it is necessary or deemed appropriate.

#### 8.4 LIHEAP Program and Technical Monitoring

Monitoring for LIHEAP will be performed in conjunction with DOE monitoring and/or as deemed necessary by IHCDA. LIHEAP monitoring practices will be the same as outlined above for DOE.

For units utilizing both DOE and LIHEAP the monitored process is outlined above. IHCDA estimates that more than 70% of Weatherization completions in Indiana utilize both DOE and LIHEAP funding.

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### 8.5 Monitoring Reporting Process

#### Monitoring Report

Each sub-Grantee will receive a copy of the monitoring report within 30 days from completion of the exit conference. The report will identify such areas as training and technical assistance recommendations, summary of program /technical and client file/QCI findings and concerns, funding utilization per client, and NEAT/MHEA/MulTEA review. **Subgrantee's are not responsible for findings and concerns requiring maintenance needs unrelated to the Weatherization Services performed.**

- **Findings** should be classified as critical in nature and may require immediate corrective action by the sub-grantee (e.g., Health and Safety issue).
- **Concern** do not require immediate action by the sub-grantee and in many cases may not require action at all. These tend to be low to medium intensity issues.

The level of severity (classification as a finding/concern) may be based upon conditions in the field at the time of monitoring.

Findings and Concerns will be noted as:

- **Incomplete Work:**
  - Concern: Incomplete work that is minor, that has little or no cost, does not pose a health and safety issue and is not part of past trends for the agency, and depending on the circumstance may not be required to be repaired.
  - Finding: Incomplete work that includes past trend(s), is associated with a noteworthy cost, may affect the potential energy savings, or is a health and safety issue. These will require remediation.
- **Questioned Costs:**
  - Questioned costs are clarified with the sub-grantee. When deemed unallowable, they will be required to be returned or removed from DOE funding. Questioned costs are subject to additional review.
- **Client Complaints**
  - When clients complain at the field monitoring, each complaint will be reviewed for validity.
- **Major Workmanship Issues**
  - Finding: Major workmanship issues must be resolved by the sub-grantee.
- **Minor Workmanship Issues**
  - Concern: If the minor workmanship issue is part of past trends, then it is treated as a major workmanship issue.

#### Monitoring Report Response

The sub-grantee must either **accept** the submitted report or provide an **Informal Appeal** (see Monitoring Appeal Process) to specific findings and concerns. The sub-grantee will have 10 days from the receipt of the monitoring report to submit the **Informal Appeal** to IHCDA.

Any corrective action taken by the sub-grantee is considered an acknowledgment of the finding or concern. Failure by the sub-grantee to respond in writing to the monitoring report **within** the established **10-day** deadline may result in claims being held by IHCDA until the proper response is received.

#### Monitoring Appeals Process

If the sub-grantee informally appeals (disagrees with) any item on the WAP Monitoring Report, the sub-grantee must send an informal appeal via email to [ivx@ihcda.in.gov](mailto:ivx@ihcda.in.gov), to IHCDA's **Weatherization Assistance Program (WAP) Manager**, and contracted Monitors within 10 days of the receipt of the monitoring report. In the subject line it should say "Informal Monitoring Appeal". **The appeal must provide detail of the basis for the appeal.**

- **Upon receipt of the Formal Appeal IHCDA will have 10 days to request from the monitor or agency any additional documentation necessary to make an informed appeal response.**
- **The monitor or agency will have 10 days to provide the requested additional documentation.**
- **After receiving the requested additional documentation, IHCDA will have 15 days to provide a response to the Informal Appeal.**
  - If IHCDA **upholds** the sub-grantees **Informal Appeal**, the sub-grantee will receive a revised monitoring report that will be used to ensure all actionable items are completed.
  - If IHCDA **does not uphold the** sub-grantee's **Informal Appeal**, (in-full or in-part) the sub-grantee will receive an **IHCDA Informal Appeal** reply.
  - If the sub-grantee **agrees** with the reasons described in the **Informal Appeal** reply for not upholding the appeal, the sub-grantee's **must respond to IHCDA within 10 days acknowledging their agreement.**
  - If the sub-grantee **disagrees** (in-full or in-part) with IHCDA's **Informal Appeal** reply, the sub-grantee may submit a **Formal Appeal** in writing to the Director of Community Programs within 10 days of receiving the **Informal Appeal** reply.
  - The Director of Community Programs will review the formal appeal and provide a written decision response within 30 days of receiving the

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**Formal Appeal.** This decision will be final.

#### Monitoring Completion

If all parties are in agreement with **the report as written**, the subgrantee will have 30 days after the monitoring session to respond, with an additional 15 days to close out the session, making for a 45-day closeout period.

**Once the appeal process is finalized, and all corrective actions have been completed, the sub-grantee will receive a Monitoring Completion letter from the monitor within 30 days.**

#### 8.6 Return of Funds (Monitoring)

A return of funds transaction is initiated when paid grant funds need to be returned due to a monitoring or financial audit issue. A return of funds must be paid out of private agency funds. These funds will show on the claim summary but will not be returned to the sub-grantee's available budget.

Examples of disallowed costs include, but are not limited to:

- Exceeding **25%** of total expended funds on Health & Safety measures
- Exceeding the current average cost per unit
- Interest expenses paid with DOE funds.
- Rework expenses when job has been closed, except when specifically authorized by IHCDA.
- Disallowed equipment and vehicle purchases with DOE funds.
- Any measure not cost justified.
- Any repair that exceeds the incidental repair measure limit for materials and labor
- Expenditures incurred for the installation of measures on a completed unit outside the contract period.
- If IHCDA cannot determine an expenditure is allowable because of inadequate records or documentation, IHCDA will request additional documentation. If documentation cannot be produced, the costs will be disallowed.

#### 8.7 Compliance

Compliance is essential in assuring overall program success. Sub-grantees are monitored to determine whether they have continuously met the established program guidelines, government legislation, IHCDA contract, the IHCDA provided Program Manual, and IHCDA Information Memoranda. Failure to meet the minimum monitoring standards will result in corrective action.

#### Quality Improvement Plan (QIP)

Monitoring visits where serious, numerous, or recurring findings may result in the sub-grantee being placed on a QIP. The intent of the QIP is to help the sub-grantee improve the areas of deficiency. As part of the QIP, IHCDA monitors will make additional visits to the sub-grantee to ensure changes are being implemented and all noted deficiencies are being resolved. The QIP may be modified as deemed necessary by IHCDA to accomplish the needed sub-grantee improvement. Sub-grantees could be placed on a QIP if one or more of the following program deficiencies are identified:

- General Administrative Deficiencies that include but are not limited to late interim or closeout reports, late completion reporting (data entry), lack of procurement policies.
- outdated cost allocation plans
- Fiscal Reporting issues that include failure to claim expenses on a monthly basis, repeated occurrences where expenses are submitted more than 45 days after the invoice or purchase order date, contractors paid beyond the 45-day requirement.
- Staff or contractors fail to receive proper certifications.
- ACPU exceeds cost guidelines set forth by DOE or HHS (LIHEAP) funding.
- At least 25% of client files reviewed are deemed ineligible.
- High risk outcome on the Risk Assessment
- Repeated concerns and findings on Technical Monitoring

Should the QIP fail to correct the issues, IHCDA will pursue further remedies for noncompliance as allowed in their Weatherization Policy and Procedures Manual, and the sub-grantee grant agreement (contract). The sub-grantee's Weatherization Manager or Weatherization Director may not be the QCI and Energy Auditor combination staff member.

#### Modified Quality Improvement Plan (MQIP)

Similar to a Quality Improvement Plan, a MQIP requires less oversight and time frame to accomplish the stated compliance objectives.

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**V.8.4 Training and Technical Assistance Approach and Activities**

Please see the attachment [2024 Indiana Training & Technical Assistance Plan](#) in the SF-424 Application documents.

Percent of overall trainings

Comprehensive Trainings:

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.9 Energy Crisis and Disaster Plan**

IHCDA will follow the guidance for Energy Crisis and Disaster Plan as outlined in [WPN 12-7](#).

The primary allowance of this program notice would allow IHCDA to install incidental repair measures as deemed necessary and in accordance with IHCDA and DOE policy, appropriate and associated health and safety cost necessary for weatherization to continue, the ability to perform reweatherization without regard to the date of weatherization, and paying weatherization personnel to perform duties such as securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. However, using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Incidental and health and safety related expenses are required to meet both DOE and IHCDA guidelines. Incidental repair costs as outlined in NEAT/MHEA/MulTEA must be followed if the NEAT/MHEA/MulTEA audit is utilized.

All actions taken in response to an energy crisis would be governed by [WPN 12-7](#), [10.CFR 440.18](#) and require approval from IHCDA prior to engaging in any disaster related activity.