

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission:

Preapplication
 Application
 Changed/Corrected Application

2. Type of Application: If Revision, select appropriate letter(s)

New
 Continuation
 Revision

Other (specify):

3. Date Received

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:
DE-SE0001822**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

a. Legal Name: State of Indiana, IHCDA

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:

Division Name:

Weatherization

Community Programs

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

Prefix: First Name: Greg

Middle Name:

Last Name: Glassley

Suffix:

Title: Director Energy & Utility Programs

Organizational Affiliation: IHCDA

Telephone Number: 3172323075 Fax Number:

Email: gglassley@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-0002025

Title:

2025 Weatherization Assistance Program (WAP) Funding

13. Competition Identification Number:

Title:

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

Indiana - Statewide

15. Descriptive Title of Applicant's Project:

Indiana's 2025 WAP. Weatherization assistance for low-income individuals.

APPLICATION FOR FEDERAL ASSISTANCE SF-424

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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: 04/01/2025 b. End Date: 03/31/2026

18. Estimated Funding (\$):

| | |
|-------------------|---------------|
| a. Federal | 10,062,669.00 |
| b. Applicant | 0.00 |
| c. State | 0.00 |
| d. Local | 0.00 |
| e. Other | 0.00 |
| f. Program Income | 0.00 |
| g. TOTAL | 10,062,669.00 |

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: First Name: Greg

Middle Name:

Last Name: Glassley

Suffix:

Title: Director Energy & Utility Programs

Telephone Number: 3172323075 Fax Number:

Email: gglassley@ihcda.in.gov

Signature of Authorized Representative: Signed Electronically

Date Signed: 03/24/2025

BUDGET INFORMATION - Non-Construction Programs

| | |
|--|---|
| 1. Program/Project Identification No. SE0001822 | 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 04/01/2025 |
| | 5. Completion Date 03/31/2026 |

| 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 | \$ 0.00 | | \$ 10,062,669.00 | | \$ 10,062,669.00 |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 0.00 | \$ 0.00 | \$ 10,062,669.00 | \$ 0.00 | \$ 10,062,669.00 |

| SECTION B - BUDGET CATEGORIES | | | | | |
|-------------------------------|-------------------------------------|------------------|-----------------------------------|-------------------------|------------------|
| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
| | (1) GRANTEE ADMINISTRATI ON | (2) GRANTEE T&TA | (3) SUBGRANTEE ADMINISTRATI ON | (4) LIABILITY INSURANCE | |
| a. Personnel | \$ 179,393.00 | \$ 27,567.00 | \$ 0.00 | \$ 0.00 | \$ 206,960.00 |
| b. Fringe Benefits | \$ 61,705.00 | \$ 12,567.00 | \$ 0.00 | \$ 0.00 | \$ 74,272.00 |
| c. Travel | \$ 0.00 | \$ 49,600.00 | \$ 0.00 | \$ 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 | \$ 1,269,494.00 | \$ 1,006,267.00 | \$ 141,916.00 | \$ 9,418,687.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 262,035.00 | \$ 51,115.00 | \$ 0.00 | \$ 0.00 | \$ 313,150.00 |
| i. Total Direct Charges | \$ 503,133.00 | \$ 1,410,343.00 | \$ 1,006,267.00 | \$ 141,916.00 | \$ 10,062,669.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| k. Totals | \$ 503,133.00 | \$ 1,410,343.00 | \$ 1,006,267.00 | \$ 141,916.00 | \$ 10,062,669.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

BUDGET INFORMATION - Non-Construction Programs

| | | | |
|--|---|--|--|
| 1. Program/Project Identification No. SE0001822 | 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 04/01/2025 |
| | | | 5. Completion Date 03/31/2026 |

| SECTION A - BUDGET SUMMARY | | | | | | |
|---|----------------------------|-----------------------------|--------------------|-----------------------|--------------------|------------------|
| Grant Program Function or Activity (a) | Federal Catalog No. (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. | | | | | | |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 0.00 | \$ 0.00 | \$ 10,062,669.00 | \$ 0.00 | \$ 10,062,669.00 |

| SECTION B - BUDGET CATEGORIES | | | | | |
|-------------------------------|-------------------------------------|-------------------|----------------------|------------------------|------------------|
| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
| | (1) FINANCIAL AUDITS | (2) ENERGY AUDITS | (3) FINAL INSPECTION | (4) PROGRAM OPERATIONS | |
| a. Personnel | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 206,960.00 |
| b. Fringe Benefits | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 74,272.00 |
| c. Travel | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 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 | \$ 70,958.00 | \$ 354,790.00 | \$ 354,790.00 | \$ 4,133,655.00 | \$ 9,418,687.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 313,150.00 |
| i. Total Direct Charges | \$ 70,958.00 | \$ 354,790.00 | \$ 354,790.00 | \$ 4,133,655.00 | \$ 10,062,669.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| k. Totals | \$ 70,958.00 | \$ 354,790.00 | \$ 354,790.00 | \$ 4,133,655.00 | \$ 10,062,669.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

BUDGET INFORMATION - Non-Construction Programs

| | |
|--|---|
| 1. Program/Project Identification No. SE0001822 | 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 04/01/2025 |
| | 5. Completion Date 03/31/2026 |

| SECTION A - BUDGET SUMMARY | | | | | | |
|---|----------------------------|-----------------------------|--------------------|-----------------------|--------------------|------------------|
| Grant Program Function or Activity (a) | Federal Catalog No. (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. | | | | | | |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 0.00 | \$ 0.00 | \$ 10,062,669.00 | \$ 0.00 | \$ 10,062,669.00 |

| SECTION B - BUDGET CATEGORIES | | | | | |
|-------------------------------|-------------------------------------|---------------------|-------------------------------|-----|------------------|
| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
| | (1) HEALTH AND SAFETY | (2) SUBGRANTEE T&TA | (3) WEATHERIZATI ON READINESS | (4) | |
| a. Personnel | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 206,960.00 |
| b. Fringe Benefits | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 74,272.00 |
| c. Travel | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 49,600.00 |
| d. Equipment | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 0.00 |
| e. Supplies | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 0.00 |
| f. Contract | \$ 1,033,414.00 | \$ 165,272.00 | \$ 888,131.00 | | \$ 9,418,687.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 0.00 |
| h. Other Direct Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 313,150.00 |
| i. Total Direct Charges | \$ 1,033,414.00 | \$ 165,272.00 | \$ 888,131.00 | | \$ 10,062,669.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 0.00 |
| k. Totals | \$ 1,033,414.00 | \$ 165,272.00 | \$ 888,131.00 | | \$ 10,062,669.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | | \$ 0.00 |

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Indiana, IHCDA
 Award number: SE0001822

Budget period: 04/01/2025 - 03/31/2026

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

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

| Position | Description of Duties of Professionals |
|---|---|
| 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 Energy & Utility 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 of 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. |

Direct Personnel Compensation:

| Position | Salary/Rate | Time | Direct Pay |
|---|--------------------|----------------|-------------------|
| 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 Energy & Utility 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 of Programs | \$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 estimated fringe benefits rate is 35% in the State of Indiana, broken down as follows:

Health/Dental/Vision: 17.16%

Retirement: 10.81%

FICA: 5.69%

Short & Long Term Disability: 0.93%

Basic Life Insurance: 0.10%

Deferred Comp: 0.31%

Fringe Benefits Calculations

| Position | Direct Pay | Rate | Benefits |
|---|-------------|-----------------------|-------------|
| 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 Energy & Utility 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 of Programs | \$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.

| Purpose of Trip | Number of Trips | Cost Per Trip | Total |
|--------------------------------|-----------------|---------------|-------------|
| Subrecipient Office/Site Visit | 24 | \$400.00 | \$9,600.00 |
| Subrecipient Assembly | 10 | \$4,000.00 | \$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 \$10,000 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 |
|-----------|-----------|--------|------------|-----------------------|
| | | | | |

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 \$10,000 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* |
|--|----------------|--|
| Ad Hoc T&TA | \$1,178.00 | T&TA set aside for future contracts or sub-grantee request. |
| Subrecipient Contracts | \$8,149,193.00 | 2025 subrecipient formula-based allocation amounts. Includes Admin, Liability Insurance, Fiscal Audits, Base Operations, Health & Safety, T&TA, and Readiness. |
| Hutson Homes (Program Monitor + WX, SME, T&TA) | \$212,650.00 | Program monitoring for the Weatherization program. Also provides T&TA to IHCDA and to subgrantees regarding technical issues. |
| Inspector Inc (Technical Monitor) | \$114,550.00 | Technical monitoring for the Weatherization program |
| Streamlined Solutions (Program Monitor) | \$26,100.00 | Program monitoring for the Weatherization program |

| | | |
|-------------------------------|----------------|--|
| EIS (Database Hosting) | \$180,000.00 | IHCDA's contract for the WAPLink Database for sub-grantee reporting and program management. |
| INCAA (Training) | \$735,016.00 | IREC accredited training center. Provide training for the Weatherization training for the Weatherization network. Offers the regular courses as detailed in the T&TA Plan. |
| Contracts and Subgrants Total | \$9,418,687.00 | |

*For example, Competitive, Historical, Quote, Catalog

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

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

| General Description | Cost | Justification of Need |
|-------------------------------|--------------|---|
| NASCSP Fall | \$9,300.00 | Register & attend Conference. Utilization of these funds goes strictly to WAP Services. |
| Accounting | \$10,628.00 | Accounting costs such as audits, advice, software. Utilization of these funds goes strictly to WAP Services. |
| Semi-Annual Manager's Meeting | \$3,165.00 | Hold two trainings for Weatherization Managers on topics of IHCDA's choice. Utilization of these funds goes strictly to WAP Services. |
| HPC Conference | \$8,850.00 | Register & attend Conference. Utilization of these funds goes strictly to WAP Services. |
| NASCSP Membership | \$3,500.00 | Annual dues to NASCSP which allows access to the multitude of NASCSP resources. The portion of NASCSP membership used by the WAP team is strictly used for their Weatherization webinars, Weatherization conferences, and other Weatherization promotional and advocating services. Utilization of these funds goes strictly to WAP Services. |
| State Association Conference | \$3,000.00 | Register & attend Conference. Utilization of these funds goes strictly to WAP Services. |
| Indiana Office of Technology | \$2,032.00 | Based on space used and a percentage of IHCDA Personnel. Utilization of these funds goes strictly to WAP Services. |
| Admin Ad Hoc | \$193,650.00 | Admin not allocated in staff time, and utilized on an as needed basis. Ad Hoc needs for this category may include but are not limited to: future contracts, travel or conferences, a holdback that can be allocated to the subrecipient network, and items that cannot be paid for with T&TA dollars. Utilization of these funds goes strictly to WAP Services. |
| Rent | \$27,309.00 | Based on space used and a percentage of IHCDA Personnel. Utilization of these funds goes strictly to WAP Services. |
| Staff Management Training | \$5,000.00 | Management, leadership, organizational, and other types of training to continue to enhance skills in areas of opportunity for improvement. Utilization of these funds goes strictly to WAP Services. |
| Energy Out West | \$5,900.00 | Register & attend Conference. Utilization of these funds goes strictly to WAP Services. |
| Office Supplies | \$438.00 | Based on space used and a percentage of IHCDA Personnel. Utilization of these funds goes strictly to WAP Services. |
| NASCSP Winter | \$12,400.00 | Register & attend Conference. Utilization of these funds goes strictly to WAP Services. |

| | | |
|----------------------------|-----------------------|---|
| Software & Hardware | \$23,445.00 | Based on space used and a percentage of IHCDA Personnel. Utilization of these funds goes strictly to WAP Services. |
| Other IHCDA Admin Supplies | \$4,533.00 | Additional resources. Utilization of these funds goes strictly to WAP Services. |
| Other Direct Costs Total | <hr/> \$313,150.00 | |

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

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.

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)
BUDGET INFORMATION REMARKS
Grant Number: SE0001822, **State:** IN
Recipient: State of Indiana, IHCDA

Remarks

Financial Audits

In accordance with 2 CFR 200.425(a)(2), only those Subrecipient expending more than \$1,000,000 in total Federal Funding annually will receive financial audits funding identified in the Grantee's SF424A Budget.

Personnel Salaries

Personnel salary percentages paid out through DOE are estimates of up to how much of the award may be paid to the personnel category. BIL and LIHEAP pay out the remaining percentage left of the personnel's salary to add up to 100%. For example, if a personnel is estimated to be paid through DOE 75%, it is estimated the remaining 25% will be paid through BIL and LIHEAP funding.

Subrecipient Budget

IHCDA intends to utilize the budget categories Energy Audit and Final Inspection (both budgeted at \$354,790.00 each). However, PAGE does not add these line items up into the Subrecipient Budget total, and thus has the error message upon prompt to validate the file. Upon adding these line budget categories, the total equals the annual file for Subrecipient Budget (8,149,193.00). See below the breakdown:

| | |
|------------------|---------------------|
| Admin | 1,006,267.00 |
| Liability | \$141,916.00 |
| Financial Audit | \$70,958.00 |
| Energy Audit | \$354,790.00 |
| Final Inspection | \$354,790.00 |
| Base | \$4,133,655.00 |
| Health & Safety | \$1,033,414.00 |
| T&TA | \$165,272.00 |
| Readiness | \$888,131.00 |
| Total | 8,149,193.00 |

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: SE0001822, State: IN, Program Year: 2025
Recipient: State of Indiana, IHCDA

IV.1 Subgrantees

| Subgrantee (City) | Planned Funds/Units |
|--|-------------------------------------|
| Area IV Agency on Aging and Community Services, Inc. (Lafayette) | \$380,810.00 23 |
| Community Action of Greater Indianapolis, Inc. (Indianapolis) | \$1,052,010.00 61 |
| Community Action of Northeast Indiana, Inc. (Fort Wayne) | \$763,314.00 45 |
| Community Action of Southern Indiana (Jeffersonville) | \$304,785.00 19 |
| Community Action Program of Evansville and (Evansville) | \$343,114.00 21 |
| Community Action Program, Inc. of Western Indiana (Covington) | \$276,182.00 17 |
| Hoosier Uplands Economic Development Corporation (Mitchell) | \$249,744.00 16 |
| Indiana Housing and Community Development Authority (Indianapolis) | \$81,272.00 0 |
| Interlocal Community Action Program, Inc. (New Castle) | \$668,851.00 40 |
| JobSource (Anderson) | \$410,414.00 25 |
| Lincoln Hills Development Corporation (Tell City) | \$199,314.00 13 |
| North Central Community Action Agency, Inc. (Michigan City) | \$475,903.00 29 |
| Northwest Indiana Community Action Program (Crown Point) | \$527,122.00 32 |
| Ohio Valley Opportunities, Inc. (Madison) | \$362,668.00 22 |
| Pace Community Action Agency (Vincennes) | \$268,513.00 17 |
| REAL Services, Inc. (South Bend) | \$630,180.00 38 |
| South Central Community Action Agency (SCCAP) (Bloomington) | \$363,188.00 22 |
| Southeastern Indiana Economic Opportunity Corporation (Aurora) | \$270,143.00 17 |
| Tri-CAP (Dubois-Pike-Warrick) Economic Opp. Comm. Inc. (Jasper) | \$219,842.00 14 |
| Western Indiana Community Action Agency, Inc. (Brazil) | \$301,824.00 19 |
| Total: | \$8,149,193.00 490 |

IV.2 WAP Production Schedule

| | |
|---------------------------------------|-------|
| Weatherization Plans | Units |
| Total Units (excluding reweatherized) | 490 |

U.S. Department of Energy
Weatherization Assistance Program (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET
Grant Number: SE0001822, State: IN, Program Year: 2025
Recipient: State of Indiana, IHCDA

| | | |
|---|---|----------------|
| Reweatherized Units | | 0 |
| Average Unit Costs, Units subject to DOE Project Rules | | |
| VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES) | | |
| A | Total Vehicles & Equipment (\$5,000 or more) Budget | \$0.00 |
| B | Total Units Weatherized | 490 |
| C | Total Units Reweatherized | 0 |
| D | Total Dwelling Units to be Weatherized and Reweatherized (B + C) | 490 |
| E | Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D) | \$0.00 |
| AVERAGE COST PER DWELLING UNIT (DOE RULES) | | |
| F | Total Funds for Program Operations | \$4,133,655.00 |
| G | Total Dwelling Units to be Weatherized and Reweatherized (from line D) | 490 |
| H | Average Program Operations Costs per Unit (F divided by G) | \$8,436.03 |
| I | Average Vehicles & Equipment Acquisition Cost per Unit (from line E) | \$0.00 |
| J | Total Average Cost per Dwelling (H plus I) | \$8,436.03 |

IV.3 Energy Savings

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

| | Units | Savings Calculator (MBtus) | Energy Savings |
|---------------------|-------|----------------------------|----------------|
| This Year Estimate | 490 | 29.3 | 14357 |
| Prior Year Estimate | 957 | 29.3 | 28040 |
| Prior Year Actual | 577 | 29.3 | 16906 |

Method used to calculate savings description:

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.

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: michelle.bennett@cleareresult.com |
| Department of Workforce Development | Type of organization: Unit of State Government Contact Name: Elizabeth Meguschar Phone: 3172323088 Email: emeuschar@dwd.in.gov |
| Duke Energy | Type of organization: Utility Contact Name: Heather Klein Phone: 8594688242 Email: Heather.Klein@duke-energy.com |
| Indiana Department of Health | Type of organization: Unit of State Government Contact Name: Paul Krievins Phone: 3172337197 Email: PKrievins@isdh.IN.gov |
| | Type of organization: Non-profit (not a financial institution) |

U.S. Department of Energy

Weatherization Assistance Program (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

Grant Number: SE0001822, **State:** IN, **Program Year:** 2025

Recipient: State of Indiana, IHCDA

| | |
|---|--|
| Indiana Energy Association | Contact Name: Mindy Westrick Brown Phone: 3176324406 Email: mwestrick@indianaenergy.org |
| Indiana Family and Social Services Administration | Type of organization: Unit of State Government Contact Name: Rebecca McClaren Phone: 3172348330 Email: Rebecca.McClaren@fssa.IN.gov |
| Ivy Tech | Type of organization: Other Contact Name: Joan Ketterman Phone: 3179175902 Email: jketterman4@ivytech.edu |

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 |
| 01/24/2025 | Public Hearing notice was posted to the IHCDA's Public Notices page on January 14, 2025. |

IV.7 Miscellaneous

IHCDA as Subrecipient in Annual File

T&TA is allocated to the subrecipient network through IHCDA's formula allocation, with an amount of \$81,272.00 held back for subrecipient T&TA Ad Hoc. This Ad Hoc can be requested by the subrecipients for additional allocation of T&TA. IHCDA has listed themselves as a subrecipient to factor into the full Subrecipient allocation. IHCDA uses this method to ensure funds are distributed to the network on an as needed basis.

The Recipient Business Officer for IHCDA is:

Ms. Kylene Welling

Email: kwelling@ihcda.in.gov

Phone: 317-234-0934

The Recipient Principal Investigator

Mr. Greg Glassley

Email: gglassley@ihcda.in.gov

Phone: 317-232-3075

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 IHCDA 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 IHCDA's performance across all programs.

Indiana ACSI Results

U.S. Department of Energy

Weatherization Assistance Program (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

Grant Number: SE0001822, **State:** IN, **Program Year:** 2025

Recipient: State of Indiana, IHCDA

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.

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | |
|--|--|--|
| Name: Area IV Agency on Aging and Community Services, Inc. | Contact: Dan Overman | |
| | UEI: L8VLTCRHVLM1 | |
| | DUNS: 038238325 | |
| Address: 660 N 36th St PO Box 4727 Lafayette, IN 47905-4474 | Phone: (765) 447-7683235 | |
| | Fax: () - | |
| | Email: doverman@areaivagency.org | |
| Counties served: WHITE County CLINTON County CARROLL County TIPPECANOE County | Tentative allocation: \$ 380,810.00 Planned units: 23 Type of organization: Local agency | Congressional districts served: <hr/> CD IN-04 |
| | Source of labor: Contractors | |

| | | |
|---|---|--|
| Name: Community Action of Greater Indianapolis, Inc. | Contact: Dominic Coleman | |
| | UEI: DGUFLEFN24L1 | |
| | DUNS: 072069727 | |
| Address: 3266 N Meridian St Ste 300 Indianapolis, IN 46208-5859 | Phone: (317) 524-6844 | |
| | Fax: () - | |
| | Email: dcoleman@cagi-in.org | |
| Counties served: HENDRICKS County BOONE County MARION County HAMILTON County | Tentative allocation: \$ 1,052,010.00 Planned units: 61 Type of organization: Non-profit organization | Congressional districts served: <hr/> CD IN-04 IN-05 IN-07 |
| | Source of labor: Contractors | |

| | | |
|---|---|---|
| Name: Community Action of Northeast Indiana, Inc. | Contact: Joel Harms | |
| | UEI: NN8CLFUP21H7 | |
| | DUNS: 051965374 | |
| Address: 227 E Washington St PO Box 10570 Fort Wayne, IN 46802-3137 | Phone: (260) 423-3546207 | |
| | Fax: () - | |
| | Email: joelharms@mybrightpoint.org | |
| Counties served: STEUBEN County WELLS County LAGRANGE County NOBLE County WABASH County WHITLEY County ADAMS County MIAMI County HUNTINGTON County ALLEN County DEKALB County | Tentative allocation: \$ 763,314.00 Planned units: 45 Type of organization: Non-profit organization | Congressional districts served: <hr/> CD IN-02 IN-03 |
| | Source of labor: Agency and Contractors | |

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | |
|--|--|---|
| Name: Community Action of Southern Indiana | Contact: Jacob Pinion | |
| | UEI: GJC6TK3KXV34 | |
| | DUNS: 081015786 | |
| Address: 201 E 15 St Jeffersonville, IN 47130-2913 | Phone: (812) 288-6451 | |
| | Fax: 0 - | |
| | Email: jpinion@casi1.org | |
| Counties served: CLARK County FLOYD County HARRISON County | Tentative allocation: \$ 304,785.00 Planned units: 19 Type of organization: Non-profit organization Source of labor: Agency and Contractors | Congressional districts served: _____ CD IN-09 |

| | | |
|--|--|---|
| Name: Community Action Program of Evansville and | Contact: Candace Gilliam | |
| | UEI: T5RWN1BSZ7H5 | |
| | DUNS: 095390852 | |
| Address: 906 Main St Ste 908 Evansville, IN 47708-1827 | Phone: (812) 492-3923 | |
| | Fax: 0 - | |
| | Email: CGilliam@capeevansville.org | |
| Counties served: GIBSON County VANDERBURGH County POSEY County | Tentative allocation: \$ 343,114.00 Planned units: 21 Type of organization: Non-profit organization Source of labor: Agency and Contractors | Congressional districts served: _____ CD IN-08 |

| | | |
|--|--|--|
| Name: Community Action Program, Inc. of Western Indiana | Contact: Terri Poynter | |
| | UEI: JMG9E9RDQ7E9 | |
| | DUNS: 087033304 | |
| Address: 418 Washington St PO Box 188 Covington, IN 47932-1257 | Phone: (765) 793-4881 | |
| | Fax: 0 - | |
| | Email: tpoynster@capwi.org | |
| Counties served: VERMILLION County BENTON County WARREN County PARKE County MONTGOMERY County FOUNTAIN County | Tentative allocation: \$ 276,182.00 Planned units: 17 Type of organization: Non-profit organization Source of labor: Agency and Contractors | Congressional districts served: _____ CD IN-04 IN-08 |

| | | |
|---|------------------------------------|--|
| Name: Hoosier Uplands Economic Development Corporation | Contact: JR Robling | |
| | UEI: K54RMGREALFN5 | |
| | DUNS: 094469582 | |
| Address: 521 W Main St Mitchell, IN 47446-1411 | Phone: (812) 849-4457 | |
| | Fax: 0 - | |
| | Email: jrobling@hoosieruplands.org | |

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | | | |
|------------------------------|--|---|---------------------------------|----------------------|
| Counties served: | LAWRENCE County WASHINGTON County ORANGE County MARTIN County | Tentative allocation: \$ 249,744.00 Planned units: 16 Type of organization: Non-profit organization | Congressional districts served: | CD IN-08 IN-09 |
| Source of labor: Contractors | | | | |

Name: **Indiana Housing and Community Development Authority**

Contact: Austen Hurt
UEI: PW8WAKF1KWG9
DUNS:
Phone: (317) 232-4769
Fax: (317) 232-7778
Email: auhurt@ihcda.in.gov

Address: 30 South Meridian Street
Suite 900
Indianapolis, IN 46204-0000

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| Counties served: | POSEY County BROWN County NOBLE County WHITLEY County RANDOLPH County HUNTINGTON County DECATUR County ADAMS County FAYETTE County FRANKLIN County TIPTON County RIPLEY County LAPORTE County JASPER County JOHNSON County HOWARD County OHIO County MARSHALL County WHITE County LAGRANGE County JAY County FULTON County ELKHART County MONROE County DELAWARE County SULLIVAN County SHELBY County BOONE County PIKE County FLOYD County CLAY County KOSCIUSKO County PERRY County MARION County PULASKI County OWEN County LAKE County DUBOIS County MADISON County CASS County LAWRENCE County TIPPECANOE County HENRY County CLINTON County FOUNTAIN County WASHINGTON County JEFFERSON County MORGAN County UNION County MIAMI County | Tentative allocation: \$ 81,272.00 Planned units: 0 Type of organization: | Congressional districts served: | CD |
|------------------|---|---|---------------------------------|----|
| | | | IN-06 | |
| | | | IN-07 | |
| | | | IN-03 | |
| | | | IN-05 | |
| | | | IN-09 | |
| | | | IN-01 | |
| | | | IN-02 | |
| | | | IN-04 | |
| | | | IN-08 | |

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

STARKE County
HANCOCK County
SPENCER County
WARREN County
DEARBORN County
DEKALB County
ST. JOSEPH County
CRAWFORD County
WABASH County
PORTER County
DAVIESS County
ALLEN County
ORANGE County
RUSH County
WELLS County
MARTIN County
WARRICK County
GRANT County
GREENE County
VIGO County
PARKE County
STEUBEN County
BENTON County
BARTHOLOMEW County
MONTGOMERY County
HENDRICKS County
JENNINGS County
SWITZERLAND County
HARRISON County
CARROLL County
HAMILTON County
VERMILLION County
BLACKFORD County
VANDERBURGH County
NEWTON County
KNOX County
WAYNE County
GIBSON County
CLARK County
JACKSON County
PUTNAM County
SCOTT County

Source of labor: Agency and Contractors

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | |
|--|---|---------------------------------|
| Name: Interlocal Community Action Program, Inc. | Contact: Holly Lee | CD |
| | UEI: WJB3MVZM95L3 | |
| Address: 615 W State Rd 38 | DUNS: 040299364 | IN-09 |
| PO Box 449 | Phone: (765) 529-4403304 | |
| New Castle, IN 47362-4914 | Fax: () - | IN-06 |
| | Email: hlee@icapcaa.org | |
| Counties served: HANCOCK County | Tentative allocation: \$ 668,851.00 | Congressional districts served: |
| JAY County | Planned units: 40 | |
| SHELBY County | Type of organization: Non-profit organization | |
| RUSH County | | |
| DELAWARE County | | |
| FAYETTE County | | |
| BLACKFORD County | | |
| JOHNSON County | | |
| HENRY County | | |
| WAYNE County | | |
| RANDOLPH County | | |

Source of labor: Agency and Contractors

| | | |
|---------------------------------|--|----|
| Name: JobSource | Contact: Brandon Morris | CD |
| | UEI: KQJHQ7KA4JQ5 | |
| Address: 3530 Mounds Rd | DUNS: 032289543 | |
| Anderson, IN 46016-1582 | Phone: (765) 656-92765509 | |
| | Fax: () - | |
| | Email: Brandon.morris@madisoncounty.in.gov | |
| Counties served: MADISON County | Tentative allocation: \$ 410,414.00 | |
| HOWARD County | Planned units: 25 | |
| TIPTON County | Type of organization: Unit of local government | |
| GRANT County | | |

Source of labor: Agency and Contractors

| | | |
|--|---|----|
| Name: Lincoln Hills Development Corporation | Contact: Mike Axton | CD |
| | UEI: SMHYAV9HYDF6 | |
| Address: 302 Main Street | DUNS: 020423448 | |
| PO Box 336 | Phone: (800) 467-1435221 | |
| Tell City, IN 47586-2207 | Fax: () - | |
| | Email: mikeaxton@lhdc.org | |
| Counties served: PERRY County | Tentative allocation: \$ 199,314.00 | |
| CRAWFORD County | Planned units: 13 | |
| SPENCER County | 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: SE0001822 Program Year: 2025

| | | |
|--|---|--|
| Name: North Central Community Action Agency, Inc. | Contact: Lee Hoss | CD |
| | UEI: CCEYTRDL5CL3 | |
| | DUNS: 167507763 | |
| Address: 1702 E Michigan Blvd Michigan City, IN 46360-4933 | Phone: (219) 872-3764 | |
| | Fax: () - | |
| | Email: lhoss@nccomact.org | |
| Counties served: LAPORTE County PULASKI County NEWTON County STARKE County CASS County PORTER County JASPER County | Tentative allocation: \$ 475,903.00 Planned units: 29 Type of organization: Non-profit organization | Congressional districts served: IN-08 IN-02 IN-04 IN-01 |
| Source of labor: Agency and Contractors | | |

| | | |
|---|---|---------------------------------------|
| Name: Northwest Indiana Community Action Program | Contact: Jeffrey Jonston | CD |
| | UEI: LKFFCWXP1LU2 | |
| | DUNS: 941561966 | |
| Address: 5240 Fountain Dr Crown Point, IN 46307-1084 | Phone: (219) 286-3308 | |
| | Fax: () - | |
| | Email: jjohnston@coaction.care | |
| Counties served: LAKE County | Tentative allocation: \$ 527,122.00 Planned units: 32 Type of organization: Non-profit organization | Congressional districts served: IN-01 |
| Source of labor: Contractors | | |

| | | |
|--|---|--|
| Name: Ohio Valley Opportunities, Inc. | Contact: Jeff Rowlett | CD |
| | UEI: D4CLGEA1PH33 | |
| | DUNS: 074093907 | |
| Address: 421 Walnut St PO Box 625 Madison, IN 47250-3565 | Phone: (812) 265-5858 | |
| | Fax: () - | |
| | Email: jrowlett@ovoinc.org | |
| Counties served: JEFFERSON County JENNINGS County SCOTT County BARTHOLOMEW County DECATUR County JACKSON County | Tentative allocation: \$ 362,668.00 Planned units: 22 Type of organization: Non-profit organization | Congressional districts served: IN-09 IN-06 |
| Source of labor: Agency and Contractors | | |

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | |
|--|---|--|
| 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 SULLIVAN County GREENE County DAVIESS County | Tentative allocation: \$ 268,513.00 Planned units: 17 Type of organization: Non-profit organization | Congressional districts served: CD IN-08 |
| | Source of labor: Contractors | |

| | | |
|--|---|--|
| 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: KOSCIUSKO County ELKHART County MARSHALL County FULTON County ST. JOSEPH County | Tentative allocation: \$ 630,180.00 Planned units: 38 Type of organization: Non-profit organization | Congressional districts served: CD IN-02 |
| | Source of labor: Contractors | |

| | | |
|--|---|--|
| 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@insccap.org | |
| Counties served: BROWN County MONROE County OWEN County MORGAN County | Tentative allocation: \$ 363,188.00 Planned units: 22 Type of organization: Non-profit organization | Congressional districts served: CD IN-09 IN-08 IN-04 |
| | Source of labor: Contractors | |

| | | |
|--|--------------------------|--|
| Name: Southeastern Indiana Economic Opportunity Corporation | Contact: Rocky Walton | |
| | UEI: NNDBW2X9AKD9 | |
| | DUNS: 099026296 | |
| Address: 110 Importing St PO Box 240 Aurora, IN 47001-1434 | Phone: (812) 926-1585240 | |
| | Fax: () - | |
| | Email: rwalton@sieoc.org | |

U.S. Department of Energy

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

State: IN Grant Number: SE0001822 Program Year: 2025

| | | | | |
|---|--|---|---------------------------------|----------|
| Counties served: | SWITZERLAND County UNION County DEARBORN County FRANKLIN County OHIO County RIPLEY County | Tentative allocation: \$ 270,143.00 Planned units: 17 Type of organization: Non-profit organization | Congressional districts served: | CD IN-06 |
| Source of labor: Agency and Contractors | | | | |

| | | | | |
|---|---|---|---------------------------------|----------|
| Name: | Tri-CAP (Dubois-Pike-Warrick) Economic Opp. Comm. Inc. | Contact: Brian Beckman UEI: DWDBNVJFE3C8 DUNS: 605105345 Phone: (812) 482-2233110 Fax: () - Email: brian@tri-cap.net | Congressional districts served: | CD IN-08 |
| Address: 607 Third Ave PO Box 729 Jasper, IN 47546-3636 | | | | |

| | | | | |
|---|--|---|---------------------------------|----------|
| Counties served: | WARRICK County PIKE County DUBOIS County | Tentative allocation: \$ 219,842.00 Planned units: 14 Type of organization: Non-profit organization | Congressional districts served: | CD IN-08 |
| Source of labor: Agency and Contractors | | | | |

| | | | | |
|---|--|---|---------------------------------|-------------------|
| Name: | Western Indiana Community Action Agency, Inc. | Contact: Jon Hook UEI: TABYL92MU463 DUNS: 121576292 Phone: (812) 446-4000 Fax: () - Email: jhook@wicaa.org | Congressional districts served: | CD IN-04 IN-08 |
| Address: 859 W Jackson St, Ste A Brazil, IN 47807-4705 | | | | |

| | | | | |
|---|---|---|---------------------------------|-------------------|
| Counties served: | PUTNAM County VIGO County CLAY County | Tentative allocation: \$ 301,824.00 Planned units: 19 Type of organization: Non-profit organization | Congressional districts served: | CD IN-04 IN-08 |
| Source of labor: Agency and Contractors | | | | |

U.S. Department of Energy
Weatherization Assistance Program (WAP)
STATE PLAN / MASTER FILE WORKSHEET
Grant Number: SE0001822, **State:** IN, **Program Year:** 2025
Recipient: State of Indiana, IHCDA

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

3.1 Income Eligibility & Documentation

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](#) WPN 24-4.
- 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.

IHCDA requires all subrecipients ensure client eligibility during the period in which services are delivered. Clients who are deemed categorically eligible due to eligible participation in the following programs will have their most recent approval date transferred into their record in the WAP Statewide Database.

- LIHEAP
- HUD
- SSI
- TANF

When clients are determined to be eligible and are moved to the Weatherization Waitlist, that is the date which the applicant's eligibility has been determined.

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

Poverty Guidelines are followed as outlined by [HHS](#).

EAP Categorical Eligibility & Income Verification

Categorically Eligible Clients

Categorically eligible clients are defined as households that have been income verified by an approved federal program. In Indiana, households that have been determined as eligible for LIHEAP (EAP) in the past 12 months are categorically eligible for Wx. Households that have been deemed eligible for HUD means-tested programs, such as but not limited to the Lead Hazard Control & Healthy Homes Program, are also categorically eligible.

Income Eligibility & Documentation

All households that are approved for EAP are categorically income eligible for Wx. At the time of eligibility determination for Wx, the household must have a "current" EAP approval, as defined by a notification letter dated within the 12 prior months. The only information needed to document this eligibility is proof of the date on which the household was approved for EAP. Due to shared data systems and the ability for the WAP Statewide Database to pull EAP application approval status – the data field "Current EAP Application Status" being set to "Approved" and a current application date is all that is needed for proof of categorical eligibility. No physical copy of a letter is needed unless if the applicant is applying directly to Weatherization via <https://inclient.waplink.org/>.

Information, such as income verification, does not need to be duplicated. In monitoring, the client file holding the EAP Approval letter or WAP Statewide Database will confirm the validity of income verification.

Weatherization work may continue so long as the Energy Audit has taken place within 12 months of the approval date.

Non-Categorical Eligibility & Income Verification

For applicants that do not meet categorically eligibility criteria, the LSPs must determine whether the applicant is income eligible for Weatherization. To be income eligible for Weatherization the household must be at or below 200% of the Federal Poverty level, see Appendix X.

The weatherization subrecipient staff or its subcontractor is obligated to review and determine Wx eligibility status for anyone requesting an application.

U.S. Department of Energy

Weatherization Assistance Program (WAP)

STATE PLAN / MASTER FILE WORKSHEET

Grant Number: SE0001822, **State:** IN, **Program Year:** 2025

Recipient: State of Indiana, IHCDA

Applicants will largely follow intake through the WAP Statewide Database. No unit will be weatherized without documentation that the unit is eligible. [10 CFR 440.22](#).

The local subrecipients verify applicant's income during the application process. Each income calculation, whether the applicant is working part time or fulltime, must include all sources of income. The minimum requirement of subrecipients to provide as proof of income is the most recent pay stub issued within the past 90 days of intake. The WAP Statewide Database has the capability to calculate annual income based on the income types reported (i.e. bimonthly earnings, one time payments and earnings, biweekly income, etc.). Use of the income calculator in the WAP Statewide Database is the required method to calculate annualized income. Subrecipients must calculate income by gathering the most recent paystub prior to applying for Weatherization.

Acceptable methods of proof of income are as follows:

- W-2's
- 1099's
- Social Security Income
- Alimony/ Spousal Support
- Black Lung Benefits (only if person is the beneficiary of individual who had black lung)
- EITC
- Pension
- Retirement payouts
- Workers Compensation
- VA Disability Income
- Unemployment
- Self-employment
- Interest/ Divided ends

NOTE: EAP Approval letters are not needed if not pulled in by EIS. Only an approval letter is needed if the client has a HUD Voucher or are EAP approved and not pulled through EIS.

Child Support

Payee

When an applicant receives Child Support from any state program or individual during an applicable tax year, payments are excluded as income. The client must complete a Form IVA-2025 – Income Verification Affidavit and provide supporting documentation.

Payor

When an applicant is paying Child Support, through a state program or to an individual, payments are not deducted from income. LSPs should look at pay stubs, bank statements, or letters from other government agencies to determine how much an applicant has paid in child support for the three (3) month period.

Zero Income Affidavit

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 90 days prior to the application date. Zero income claimants must have a notarized affidavit claiming zero income. The notarized Zero Income Claimant Form should be in each client's file who claims zero income.

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 Weatherization application.

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.

Describe what household eligibility basis will be used in the Program

3.1 Income Eligibility & Documentation

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

U.S. Department of Energy

Weatherization Assistance Program (WAP)

STATE PLAN / MASTER FILE WORKSHEET

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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 WPN 24-4](#).
- 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.

IHCDA requires all subrecipients ensure client eligibility during the period in which services are delivered. Clients who are deemed categorically eligible due to eligible participation in the following programs will have their most recent approval date transferred into their record in the WAP Statewide Database.

- LIHEAP
- HUD
- SSI
- TANF

When clients are determined to be eligible and are moved to the Weatherization Waitlist, that is the date which the applicant's eligibility has been determined.

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

Poverty Guidelines are followed as outlined by [HHS](#).

EAP Categorical Eligibility & Income Verification

Categorically Eligible Clients

Categorically eligible clients are defined as households that have been income verified by an approved federal program. In Indiana, households that have been determined as eligible for LIHEAP (EAP) in the past 12 months are categorically eligible for Wx. Households that have been deemed eligible for HUD means-tested programs, such as but not limited to the Lead Hazard Control & Healthy Homes Program, are also categorically eligible.

Income Eligibility & Documentation

All households that are approved for EAP are categorically income eligible for Wx. At the time of eligibility determination for Wx, the household must have a "current" EAP approval, as defined by a notification letter dated within the 12 prior months. The only information needed to document this eligibility is proof of the date on which the household was approved for EAP. Due to shared data systems and the ability for the WAP Statewide Database to pull EAP application approval status – the data field "Current EAP Application Status" being set to "Approved" and a current application date is all that is needed for proof of categorical eligibility. No physical copy of a letter is needed unless if the applicant is applying directly to Weatherization via <https://client.waplink.org/>.

Information, such as income verification, does not need to be duplicated. In monitoring, the client file holding the EAP Approval letter or WAP Statewide Database will confirm the validity of income verification.

Weatherization work may continue so long as the Energy Audit has taken place within 12 months of the approval date.

Non-Categorical Eligibility & Income Verification

For applicants that do not meet categorically eligibility criteria, the LSPs must determine whether the applicant is income eligible for Weatherization. To be income eligible for Weatherization the household must be at or below 200% of the Federal Poverty level, see Appendix X.

The weatherization subrecipient staff or its subcontractor is obligated to review and determine Wx eligibility status for anyone requesting an application. Applicants will largely follow intake through the WAP Statewide Database. No unit will be weatherized without documentation that the unit is eligible. [10 CFR 440.22](#).

The local subrecipients verify applicant's income during the application process. Each income calculation, whether the applicant is working part time or fulltime, must include all sources of income. The minimum requirement of subrecipients to provide as proof of income is the most recent pay stub issued within the past 90 days of intake. The WAP Statewide Database has the capability to calculate annual income based on the income types reported (i.e. bimonthly earnings, one time payments and earnings, biweekly income, etc.). Use of the income calculator in the WAP Statewide Database is the required method to calculate annualized income. Subrecipients must calculate income by gathering the most recent paystub prior to applying for Weatherization.

Acceptable methods of proof of income are as follows:

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- W-2's
- 1099's
- Social Security Income
- Alimony/ Spousal Support
- Black Lung Benefits (only if person is the beneficiary of individual who had black lung)
- EITC
- Pension
- Retirement payouts
- Workers Compensation
- VA Disability Income
- Unemployment
- Self-employment
- Interest/ Divided ends

NOTE: EAP Approval letters are not needed if not pulled in by EIS. Only an approval letter is needed if the client has a HUD Voucher or are EAP approved and not pulled through EIS.

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Payor

When an applicant is paying Child Support, through a state program or to an individual, payments are not deducted from income. LSPs should look at pay stubs, bank statements, or letters from other government agencies to determine how much an applicant has paid in child support for the three (3) month period.

Zero Income Affidavit

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 90 days prior to the application date. Zero income claimants must have a notarized affidavit claiming zero income. The notarized Zero Income Claimant Form should be in each client's file who claims zero income.

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 Weatherization application.

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.

3.2 Application Intake & Prioritization

Once the household's eligibility has been determined, each subrecipient must follow the procedures for client priority listed below. Any exception to IHCDA's client priority procedure must be submitted in writing for review and approval by IHCDA. Client priority procedures will be verified during monitoring. Priority systems must be applied equally to both renter and owner-occupied units and applied equitably to all areas of the subrecipient's territory.

EAP Approved Applicants

No income verification or additional data is needed for applicants that are EAP approved and on the Waitlist. EAP Approved applications on the EAP Queue must have additional data to establish priority points before applicant can be moved to Waitlist or scheduled.

Weatherization-Only Applicants

For applicants that are not pulled over from the EAP Statewide Database, or are ineligible for EAP, subrecipients may either manually enter the information for an applicant or send the applicant an active link to complete an online weatherization application in the WAP Statewide Database. Subrecipients must review the applicant's information to determine if they are income eligible. In cases where income needs to be verified, subrecipients will utilize the WAP Statewide Database's Income Calculator and determine income-eligibility.

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Weatherization Assistance Program (WAP)
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Recipient: State of Indiana, IHCDA

At Risk Households

IHCDA tracks six at risk household categories through the WAP Statewide Database. At risk household categories are defined as the following:

- **High Energy Use:** Low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State
- **High Energy Burden:** Low-income household whose residential energy burden (residential expenditures divided by the annual income of the household) exceeds the median level of energy burden for all low-income households in the State
- **Elderly:** Person who is 60 years of age or older
- **Disabled:** Person who is handicapped as defined in Section 7(6) of the Rehabilitation Act, Section 1614(a)(3) or Section 224(d)(1) of the Social Security Act, Section 102(7) of the Developmental Disabilities Services and Facilities Construction Act, or receiving benefits under USC Title 38 Chapter 11 or 15
- **Children:** Person under the age of 18
- **Native American:** Person who is a member of an Indian tribe

Client Priority

Based on the information entered into the WAP Statewide Database, priority clients will appear in rank of points automatically calculated. In accordance with [10 CFR 440.16](#) priority is given to households where one or more of the following exist:

- High Energy Use
- High Energy Burden
- Elderly
- Disabled
- Children

This list must be used to order the **outreach of priority clients** to schedule their service. Within the above listed priority, subrecipients should focus on households with the highest point value and contact those with the greatest points first when working through their waitlists. This can occur separately by each county in a subrecipient's service territory. Clients in each county should be contacted in order of highest to lowest number of points. For clients with the same number of points, those clients should be contacted in a first come first serve basis.

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

3.3 Household Member Eligibility

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

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

3.5 Building Eligibility

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 Wx 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.

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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** (5 years if utilizing LIHEAP only) are not re-weatherized:

- Each client's address must be checked in the WAP Statewide Database 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.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the subrecipient 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 subrecipient 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”. Any units completed and reported as a completion in WAP Statewide Database will require special approval by IHCDA for additional re-work being undertaken. See Section 4.8 for additional information.

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 individual 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.
 - Subrecipients 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
 - Recommended Measures and Audit Data Reports (formerly NEAT/MHEA/MuTEA 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 WAP Statewide Database 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 referred to as **large multifamily** buildings.
 - Residential buildings with 5-24 units that are 3 stories or fewer are referred to as **low-rise multifamily** buildings.
 - Multi-unit buildings with fewer than 5 units are called **2-4-unit** buildings.

All multi-family projects must be submitted to IHCDA, who will submit project to DOE for approval.

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 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 Reweatherization compliance

3.5 Building Eligibility

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 Wx 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](#).

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Weatherization Assistance Program (WAP)

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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.

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** (5 years if utilizing LIHEAP only) are not re-weatherized:

- Each client's address must be checked in the WAP Statewide Database 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.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the subrecipient 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 subrecipient 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". Any units completed and reported as a completion in WAP Statewide Database will require special approval by IHCDA for additional re-work being undertaken. See Section 4.8 for additional information.

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 individual 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.
 - Subrecipients 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
 - Recommended Measures and Audit Data Reports (formerly 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 WAP Statewide Database 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 referred to as **large multifamily** buildings.
 - Residential buildings with 5-24 units that are 3 stories or fewer are referred to as **low-rise multifamily** buildings.
 - Multi-unit buildings with fewer than 5 units are called **2-4-unit** buildings.

All multi-family projects must be submitted to IHCDA, who will submit project to DOE for approval.

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 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 what structures are eligible for weatherization

3.6 Structure Eligibility

Subrecipients may weatherize Single Site-Built Homes, Mobile Homes (Manufactured Housing), Shelters and Multi-Unit Buildings. Subrecipients may also Weatherize units for both homeowners and renters. The selection process is based upon client eligibility, established priority guidelines, and information gathered

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during the initial audit. Once a unit is determined to qualify for services, the Energy Auditor will determine if the structure 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.

Describe how Rental Units/Multifamily Buildings will be addressed

See **Low-Rise Multi-Family Policy & Procedure Manual in development for Multi-Family policy.**

3.6 Rental Eligibility

Subrecipients 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 subrecipient has adopted. Landlord contribution is not required by IHCDA or DOE.

4.4 Rentals

The benefits of Wx to occupants of rental units are the same as homeowners per [10 CFR 440.22\(b\)\(3\)](#). As defined by [10 CFR 440.3](#), a rental unit is a unit occupied by a person who pays rent for the use of the unit. Subrecipients must have the following policy and procedures in place before proceeding with weatherization of a rental unit:

- Written permission from the building owner or his/her legal managing agent before commencing.
- Benefits of the services accrue primarily to the low-income tenants residing in such units
- For 12 months after completion, a landlord must agree the household will not be subject to a rent increase due to weatherization
- No undue or excessive enhancements shall occur to the value of the unit.
- A landlord agreement/affidavit as required by the subrecipient
- Documentation supporting monthly rental amount, such as being included in the Landlord agreement, a recent cancelled check made payable to the landlord, or the amount included on the landlord affidavit

Subrecipients are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the subrecipient has adopted.

Subrecipients will ensure that clients realize the benefits from the weatherization work. Landlord agreement forms must be included in the files of all weatherized rental units. At a minimum, landlord agreements must state that:

- For a one-year period after weatherization work on the unit is completed, rent cannot be increased, unless the increase is not related to weatherization services performed, as noted in [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 WAP Statewide Database's Landlord Agreement Form, as noted in [10 CFR 440.22\(d\)](#)
- Written permission from the owner, or his/her legal agent

Landlord contributions are not to be counted as program income and must be applied to the weatherized unit. As an example, if the cost of the work is \$4,000.00, and the landlord contributes 50%, or \$2,000.00, weatherization may be charged for only the remaining \$2,000.00.

Subrecipients are required to develop a written appeals process for dealing with rental units. The process must include a method by which tenants may file complaints and owners in response to such complaints, must demonstrate that the rent increase concerned is related to matters other than the weatherization work.

The primary purpose of the Weatherization Assistance Program is to lower the total residential energy expenditures of low-income persons. Subrecipients are to ensure that no undue enhancement shall occur to increase the value of the units, as noted in [10 CFR 440.22\(b\)\(3\)\(iv\)](#). Undue enhancement is defined by DOE as any improvement to the property that goes beyond the scope of energy conservation work.

Subrecipients are not required to place liens on rental property that has been weatherized but must ensure protection of the low-income household from improper eviction or sale of property. Subrecipients must be aware of the legal protection available and be prepared to make appropriate referrals when necessary.

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Describe the deferral Process

See Weatherization Readiness Fund Plan attached to SF-424 for Readiness Policy

4.3 Deferral

Although a client may meet income eligibility requirements for weatherization, the subrecipient 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

All deferrals will be tracked through the WAP Statewide Database. 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 alternative 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 or mechanical 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. IHCDA requires the **Applicant Deferral Notification Letter Appendix R** to be the basis of any form created by the Wx subrecipient to notify weatherization clients of their denial of services. 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 and Home 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

If a deferral occurs after 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 subrecipient 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:

U.S. Department of Energy

Weatherization Assistance Program (WAP)

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- Meaningful photographs of the cause(s) for deferral (must be included in the client file)
- Moisture and Home 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, subrecipients 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 the WAP Statewide Database.

All agencies will pursue alternative funding resources to reduce the occurrence of deferrals. 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:

- U.S. Department of Energy (DOE) – Weatherization Readiness Funds
- U.S. Department of Housing and Urban Development (HUD) - HOME Program
- HUD - Community Development Block Grant
- U.S. Department of Health and Human Services (HHS) - Community Services Block Grant
- U.S. Department of Agriculture (USDA) - Rural Economic Community Development
- State-funded housing and rehabilitation programs
- City-funded housing and rehabilitation programs
- Low-income program funds provided by local utilities
- Donations or financial participation from landlords
- Donations from local churches or community groups
- Unrestricted Weatherization Improvement (UWI) funds
- Private Funds

Specialty contractors may be utilized for deferral remediation, but they must adhere to the minimum training requirements outlined in IHCDA policy. An inspection on the unit must be performed to ensure all deferral issues have been addressed and the unit is weatherization ready. Deferral funds must not be used to perform the following:

- Help maintain the average cost per unit of the traditional Weatherization grants.
- As a “buy down” to enhance other measures.
- As a substitute for traditional weatherization mechanical expenses.
- As an emergency “no heat” program.

IHCDA reserves the right to request repayment of funds received for deferral expenses (extenuating circumstances will be reviewed by IHCDA).

Historic Preservation is not a cause for deferral.

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.

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.

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V.2 Selection of Areas to Be Served

Selection of subgrantees to implement the Weatherization Assistance Program is made in accordance with 10 CFR 440.15(a). Preference is given to any subgrantee that has administered, or is currently administrating, 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 19 subgrantees to cover Indiana's 92 counties. Of the 19 subgrantees, 18 are Community Action Agencies, and 1 is a unit of local government.

Request for Qualifications (RFQ) and Request for Proposals (RFP)

IHCDA may post an RFQ or RFP to identify organizations suitable to provide services within a particular 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 subrecipient 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 subrecipients. Eligible applicants will be determined based on the Federal regulations for the WAP Statewide Database. IHCDA will make a reasonable effort to assess if there is an adjacent, existing subrecipient to support service delivery. Subrecipients are encouraged to seek assistance from other subrecipients who have the capacity to provide support. This step could result in avoiding the need for the RFQ/RFP process.

The RFQ/RFP may also be posted for the following reasons including, but not limited to:

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

V.3 Priorities

At Risk Households

IHCDA tracks six at risk household categories through the WAP Statewide Database. At risk household categories are defined as the following:

- **High Energy Use:** Low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State
- **High Energy Burden:** Low-income household whose residential energy burden (residential expenditures divided by the annual income of the household) exceeds the median level of energy burden for all low-income households in the State
- **Elderly:** Person who is 60 years of age or older
- **Disabled:** Person who is handicapped as defined in Section 7(6) of the Rehabilitation Act, Section 1614(a)(3) or Section 224(d)(1) of the Social Security Act, Section 102(7) of the Developmental Disabilities Services and Facilities Construction Act, or receiving benefits under USC Title 38 Chapter 11 or 15
- **Children:** Person under the age of 18
- **Native American:** Person who is a member of an Indian tribe

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Client Priority

Based on the information entered into the WAP Statewide Database, priority clients will appear in rank of points automatically calculated. In accordance with [10 CFR 440.16](#) priority is given to households where one or more of the following exist:

- High Energy Use
- High Energy Burden
- Elderly
- Disabled
- Children

This list must be used to order the **outreach of priority clients** to schedule their service. Within the above listed priority, subrecipients should focus on households with the highest point value and contact those with the greatest points first when working through their waitlists. This can occur separately by each county in a subrecipient's service territory. Clients in each county should be contacted in order of highest to lowest number of points. For clients with the same number of points, those clients should be contacted in a first come first serve basis.

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.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

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

IHCDA annually updates the Policy & Procedure Manual manual to regulate Weatherization services provided throughout Indiana. The SWS-aligned Field Guide is also used for technical procedures, renewed every 5 years. Monitoring is used to track and confirm that all weatherization workers have read the Field Guide. IHCDA includes language in its contracts to align with DOE policy, and includes DOE's Special Terms and Conditions. All subrecipients are required to adhere to these documents. Subrecipients are encouraged to reference the weatherization resources contained on the NASCSP and DOE websites.

IHCDA included specific language in its subrecipient contracts:

Subrecipient 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/SWS, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). The Subrecipient's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph.

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Subrecipient shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide/SWS, 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. The Subrecipient's 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 homes by them.

Approved 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](#). Per 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:

Table 3 - Special Materials/Audit Procedures Approvals

| Item | Comments |
|-------------------------------------|-------------------|
| 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 |

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: NEAT

Approval Date: 12/7/2021

Audit Procedure: Manufactured Housing

Audit Name: MHEA

Approval Date: 12/7/2021

Audit Procedure: Multi-Family

Audit Name:

Approval Date:

Comments

Energy Audit

Determine which weatherization measures are most appropriate for the client's unit. The initial audit also includes a health and safety evaluation. Subrecipients must ensure the energy audit has begun within 12 months of the most current approval date or the client income must be recertified. Time between the start of weatherization services (date of the energy audit) commences and closeout/completion must be no longer than 180 days. So long as weatherization services have started within 12 months of the date of determined eligibility, recertification is not required.

Pre-Auditor

A Pre-Auditor conducts an assessment of the applicant's house to ensure the home is in good condition to participate in the program to expedite the energy auditor's assessment. This may include an assessment that is not limited to determining the habitability and the ability to perform work on the house as well as energy savings opportunities. 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. An appeal process for the decision is required and the applicant must be informed

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sufficiently of this mechanism so that they may prepare their home to participate in the program.

Energy Auditor

Prior to any weatherization activities, each eligible unit must undergo a whole-home audit by a trained energy auditor. An energy auditor is a residential energy-efficiency professional who evaluates the energy efficiency and health & safety of a unit and conducts field measurements and diagnostic testing to identify areas for energy savings and enhancements. The energy auditor produces a work order based upon the information gathered to direct the energy efficient work and installed measures for units to be weatherized. Unless utilizing the approved Measure Priority List, audits are conducted according to the DOE-approved energy audit tool for the associated housing type.

Section 5: Weatherization Priority List

The Energy Auditor may decide for each job whether the subrecipient will utilize the Priority List (PL) as outlined or conduct a site-specific energy audit using the approved energy audit tool for the associated housing type. Any job utilizing these PLs with any DOE funds must install all required Health and Safety (H&S) measures per the DOE-approved H&S plan. If the PL is applied to a project using any DOE funds, any measure listed as “mandatory” may only be skipped if it is physically impossible to install, regardless of funding source used for the measure. If another funding source is used for a mandatory measure, it must meet the requirements of the DOE Weatherization Assistance Program as outlined in the PL. “Optional” measures may only be installed if all other applicable mandatory measures are installed as well (applicable measures are any measure, as defined by [WPN 22-8](#), that are included on the regional priority list that can be physically installed and does not already exist).

Any measure deemed not to be “applicable” for the project must be documented, including photos and reason for exclusion. If a measure is deemed inaccessible due to physical obstruction, logistical or safety constraints, then an interim inspection must be held, and photographic evidence and documentation must be retained should the interim inspection consider the measure inaccessible. Costs associated with these activities may be considered questioned costs in Program Monitoring and will need to be clarified with the subrecipient.

If the auditor determines that the home needs any energy conservation measure not included on this PL or if the home does not meet the basic requirements listed below, then a site-specific energy audit must be run in compliance with IHCDA’s most recently DOE-approved energy audit procedures: Energy Audit run and required *Appendix I - Work Order Cover Sheet - NEAT-MHEA Cover*. Please refer to Section 2.4 Building Eligibility and Documentation of this manual. All installation costs must be procured in compliance with 2 CFR 200 and IHCDA’s procurement policies. Individual measure cost caps, if applicable, are detailed in the applicable regional Priority List.

The following policies outline optional and mandatory measures. Each of the required forms are required to be completed and retained for record. All jobs utilizing a Priority List must also have completed required forms for monitoring and compliance found [here](#). All jobs utilizing a Priority List must complete the associated checklists Form A (Region 3 Checklist), Form C (Combustion), and Form H (H&S) for the appropriate housing type found at the links below:

- [Site-Built Single-Family Priority List Checklists](#)
- [Manufactured Priority List Checklists](#)
- [Low-Rise Multifamily Priority List Checklists](#)

5.1 Single-Family Site Built Priority List

To qualify for use of the PL on a single-family site-built home, the following must be satisfied:

1. No more than 3 stories in height above grade.
2. Primary heating system is NOT:
 - a sealed-combustion natural gas furnace originally rated greater than, or equal to, 90% AFUE.
 - a heat pump manufactured after 2006.
3. Job will not exceed **\$500** in incidental repairs meeting the definition outlined in [WPN 19-5](#)

Region 3 List of Measures

Mandatory Measures

1. Install all applicable Health and Safety (H&S) measures per the IHCDA’s DOE-approved H&S Plan.
2. Light Emitting Diode (LED) lighting replacement of all existing screw-based incandescent, halogen, or compact fluorescent lighting used for a minimum of one hour per day.
 - a. [Lighting Replacement SWS](#)
3. Air Sealing – seal the exterior pressure boundary surfaces at all the following locations: attic top-plates; ceiling, wall, and floor bypasses, penetrations,

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and holes; sill box to floor intersection if on unconditioned crawlspace or basement, or entire sill box area if conditioned foundation.

- a. Target value is 1 cfm/ft² of conditioned floor area.
- b. [Air sealing SWS](#)

4. Duct Sealing – seal all accessible ducts located outside the thermal boundary.

- a. Target value is 1 Pascal per register as measured with a Pressure Pan.
- b. [Duct sealing SWS](#)

5. Duct Insulation – insulate all accessible uninsulated ducts located outside the thermal boundary to R-8 or R12 if exposed to the exterior.

- a. [General Duct insulation SWS](#)

6. Ceiling insulation

- a. Unconditioned Attic
 - i. Mandatory: insulate all accessible attics to R-60 or to capacity if less.
 - 1. [Attic Floors - Unconditioned Attics SWS](#)
 - ii. Mandatory: insulate all uninsulated enclosed attics to capacity (e.g., floored or cathedral).
 - 1. [Attic Floors - Unconditioned Attics SWS](#)
- b. Finished Attic / Knee wall Attic / Bonus Room
 - i. Mandatory: Insulate all attic flats (collar beam & outer ceiling joists) to R-60 or to capacity if less.
 - 1. [Attic Floors - Unconditioned Attics SWS](#)
 - ii. Mandatory: Insulate all uninsulated attic enclosed roof rafter slopes to maximum capacity possible.
 - 1. [Inaccessible Ceilings – Dense Pack SWS](#)
 - iii. Mandatory: Insulate all uninsulated knee walls to R-15 or to capacity, whichever is greater.
 - 1. [Attic Knee Walls SWS](#)

7. Wall Insulation

- a. Mandatory: Insulate any exterior wall cavity with no existing insulation to full dense-packed capacity.
- b. Optional: Insulate any partially insulated exterior wall cavities (e.g., 3.5" cavity with 2" of existing batt) using dense-pack insulation.
 - i. [Dense Pack Insulation SWS](#)

8. Foundation Insulation – (skip measure if foundation is slab)

- a. Conditioned and Unvented Foundations
 - i. Mandatory: Insulate accessible rim/band joist (sill box) to R-30 or to capacity, if less.
 - ii. Optional: Insulate accessible above-grade foundation walls to R-15 continuous insulation or R-19 cavity insulation or to capacity, if less.
 - iii. [Rim/Band Joist SWS, Conditioned Subspaces: Walls SWS](#)
- b. Unconditioned or Vented Foundations
 - i. Mandatory: Insulate all floors over unconditioned foundations to R-30 or to full joist capacity, if less. Must include complete ground moisture barrier over any exposed dirt floors.
 - ii. [Floors SWS, Ground Vapor Retarders SWS](#)

Optional Measures

1. **\$250** per home DOE Wx funds cap
 - a. Faucet aerators should be less than, or equal to, 2.2 GPM – [Low-Flow Devices SWS](#)
 - b. Showerhead should be less than, or equal to, 2.5 GPM - [Low-Flow Devices SWS](#)
 - c. Domestic Water Heater (DWH) tank insulation (R-10 minimum) – [Tank Insulation SWS](#)
 - d. DWH pipe insulation (6' of both hot and cold-water lines nearest the DWH, and any accessible hot water lines beyond that to R-3) – [Pipe Insulation SWS](#)
2. Replace up to (1) refrigerator per home, with a label rating of less than 400kWh/yr and maximum installed cost of **\$850** per unit when the existing refrigerator:
 - a. Was manufactured before 2001, OR
 - b. Uses >1000 kWh/yr based upon energy use metering or industry accepted resource.
 - c. [Refrigerator Replacement SWS](#)
3. Primary Heating and Air-Conditioning System Replacements
 - a. [Heating & Cooling: Equipment Installation SWS](#)
 - b. Replace existing ducted electric resistance forced-air furnace and air conditioning combination with a heat pump of minimum 8.5/HSPF2 & COP @5°F >1.75 (at maximum capacity operation) which includes an EC air handler motor and programmable thermostat (SWS 5.0108.1; SWS 5.0101.1).
 - c. Replace existing combination of non-ducted fixed electric resistance heat (e.g., electric baseboard, and PTAC units), and non-ducted air conditioning (i.e., window or room A/C, including PTAC) with a minimum 10/HSPF2 & COP @5°F >1.75 (at maximum capacity operation) mini-split heat pump system which must include a programmable thermostat (SWS 5.0108.3; SWS 5.0101.1).
 - d. Replace existing ducted heat pump system that is manufactured before 2006 with a heat pump rated a minimum of 8.5/HSPF2 & COP @5°F >1.75 (at maximum capacity operation) which must include an EC air handler motor and programmable thermostat (SWS 5.0108.1; SWS 5.0101.1).

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- e. Replace existing window A/C manufactured before 2014 with a minimum 12 CEER or higher unit of the same or lesser BTU capacity.
- f. If the home has any other existing combination of heating/cooling systems other than as described above, then an energy model may be run that assumes items 1-8 have been completed and determine if an alternative heating/cooling system replacement is cost effective for this specific home.

5.2 Manufactured Single-Wide or Double Wide Homes Priority List

To qualify use of the PL on manufactured single-wide or double-wide homes, the following must be satisfied:

1. Is manufactured before 2010.
2. Has an accessible unconditioned subspace.
3. Does NOT have an attached conditioned addition.
4. Primary heating system is NOT a natural gas furnace originally rated greater than, or equal to, 80% AFUE.
5. Job will not exceed **\$500** in incidental repairs meeting the definition outlined in [WPN 19-5](#).

Region 3 List of Measures

Mandatory Measures

1. Install all applicable Health and Safety (H&S) measures per the IHCDA's DOE-approved H&S Plan.
2. Light Emitting Diode (LED) lighting replacement of all existing screw-based incandescent, halogen, or compact fluorescent lighting used for a minimum of one hour per day.
 - a. [Lighting Replacement SWS](#)
3. Air Sealing – seal the primary pressure boundary surfaces at the following locations: attic top-plates (if accessible); all penetrations and holes through the ceiling, exterior walls, and floor.
 - a. Target value is 1 cfm/ft² of conditioned floor area.
 - b. [Air sealing SWS](#)
4. Duct Sealing – seal all accessible ducts. At a minimum, seal all end caps, crossovers, duct boot connections, holes or penetrations, and furnace connections.
 - a. Target value is 1 Pascal per register.
 - b. [Duct sealing SWS](#)
5. Ceiling insulation (both flat and vaulted ceilings) – fill ceiling to R-60 or to capacity, whichever is less, with blown insulation.
 - a. [Attic Floors – Unconditioned Attics SWS](#)
6. Floor/Belly Insulation – Fill all belly cavities to capacity and proper density (1.25-1.75 pounds per cubic foot) with blown insulation after air sealing floor and ducts.
 - a. [MH Belly Insulation SWS](#), [Ground Vapor Retarder SWS](#)
7. Mandatory: Replace all single-paned metal-framed windows with Low-E double-paned windows having a U-value of 0.33 or less. Single pane windows with storm windows are not eligible for replacement using DOE funds.
 - a. [Window Replacement SWS](#)

Optional Measures

1. Optional: **\$250** per home DOE Wx funds cap
 - a. Faucet aerators should be less than, or equal to, 2.2 GPM – [Low-Flow Devices SWS](#)
 - b. Showerhead should be less, than, or equal to, 2.5 GPM - [Low-Flow Devices SWS](#)
 - c. Domestic Water Heater (DWH) tank insulation (R-10) – [Tank Insulation SWS](#)
 - d. DWH pipe insulation (6' of both hot and cold-water lines nearest the DWH, and any accessible hot water lines beyond that to R-3.) – [Pipe Insulation SWS](#)
2. Replace up to (1) refrigerator per home, with a label rating of less than 400kWh/yr and maximum installed cost of **\$850** per unit when the existing refrigerator:
 - a. Was manufactured before 2001, OR
 - b. Uses >1000 kWh/yr based upon energy use metering or industry accepted resource.
 - c. [Refrigerator and Freezer Replacement SWS](#)
3. Primary Heating and Air-Conditioning System Replacements
 - a. [Heating & Cooling: Equipment Installation SWS](#)
 - b. Replace existing window A/C manufactured before 2014 with a 12 CEER or higher unit of the same or lesser BTU capacity.
 - c. If the home has any other existing combination of heating/cooling systems other than as described above, then an energy model may be run that assumes items 1-7 have been completed and determine if an alternative heating/cooling system replacement is cost effective for this specific home.

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5.3 Dwellings Not Eligible for Priority Lists

If a single-family site-built or manufactured home does not meet the criteria to be eligible for the pre-approved Priority Lists or if it is determined additional measures are required which are not included on the Preapproved Priority Lists, a site-specific Energy Audit using the approved energy audit tool as approved by DOE is required.

V.5.3 Final Inspection

Quality Control Inspection

Ensure that work was completed in a competent and professional manner with the standards set forth by DOE and IHCDA.

Quality Control Inspector

IHCDA's weatherization program requires all weatherization work be verified by a BPI Quality Control Inspector (QCI). A quality control inspector (QCI) is a residential energy-efficiency professional who ensures the completion, appropriateness and quality of energy efficiency upgrade work and installed measures. Per [WPN 22-4](#), 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. IHCDA will monitor a minimum of 5% of DOE completions.

- Separation of duties between the Energy Auditor and QCI must be clearly defined and not crossed.
- Weatherization Program Managers who would like to perform QCI must obtain prior IHCDA approval.
- The QCI must take every precaution necessary to not become involved in the decision-making process regarding the work being performed at the unit.
- All additional work or needed re-work should be brought to the attention of the Wx Program Manager or Energy Auditor and not handled directly by the QCI.
- Crew Leaders should seek guidance on performing work from the WX Program Manager or Energy Auditor.

IHCDA allows two options for meeting the Quality Control Inspection requirement. Subrecipients must apply to IHCDA in order to be able to utilize the Energy Auditor as the QCI option and must indicate their intended method to IHCDA for consideration. Subrecipients that do not submit a plan to IHCDA will be required to utilize a QCI that was not the Energy Auditor

When Energy Auditor is QCI

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.

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 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 IHCDA with a legitimate right to be informed of them.

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.

Additional documentation may be required by IHCDA if necessary, including:

- Documentation of the independent status of the Quality Control Inspector
- Documentation outlining any involvement of the QCI in the audit process

Quality control inspections are subject to IHCDA 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. IHCDA will maintain tracking of all subrecipient QCI activities to include all aspects of the subrecipient developed QCI process, subsequent corrective actions, and final outcomes.

If subrecipients are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or subrecipient staff. Limited remedial training may be provided by IHCDA staff onsite at the time of the monitoring, or more extensively through the WAP Training Provider if necessary.

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Alternatively, IHCDA staff may provide more comprehensive training at a later date. Repeated noncompliance 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 IHCDA review and may result in the QCI not being allowed to perform inspections for Indiana Wx.

Subrecipients are required to ensure that each weatherization completion receives an appropriate and properly executed QC inspections. This inspection must be performed by a BPI certified Quality Control Inspector (QCI). IHCDA, as part of their regular monitoring procedures, will review QC inspection forms, subrecipient inspection processes and completed units to ensure the inspections are being performed correctly and in a manner that meets DOE expectations. [WPN 22-4](#).

Failure by the subrecipient to utilize the QCI process correctly may result in the associated 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 subrecipient on a Quality Improvement Plan (QIP).

Client Refusal to Sign

For units that have had a QCI completed but the client refuses to sign off on the work, the unit can be counted as a completion upon approval by IHCDA. In order for IHCDA to consider the unit a completion, subrecipients must send the entire client file with personal identifying information (PII) redacted and a detailed explanation regarding client refusal to sign to iwx@ihcda.in.gov. It is recommended that Weatherization subrecipients, 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 subrecipient 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 subrecipient. The QCI could be from another subrecipient or subcontractor.

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 IHCDA. 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 subrecipient 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 IHCDA within ten (10) business days of receipt of letter. A letter or email must be sent to IHCDA, attention of the Director of Energy and Utilities, 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 IHCDA. IHCDA will respond in writing to approve or deny the request for a Provisional Closeout or to request additional information. Until the written approval from IHCDA is received, final claims cannot be submitted for the unit.

V.6 Weatherization Analysis of Effectiveness

IHCDA works in conjunction with the Building Energy Analysis of Consumption (BEACon) system to measure weatherization effectiveness. BEACon reports are sent to each subrecipient for them to review and use to measure their energy savings as well as performance of their energy auditor and crews. The reports generated by the BEACon system provide results that are both based upon state wide averages as well as individual subrecipients. These results are shared with each subrecipient so that they know how they are performing.

IHCDA reviews all reports prepared by the monitor(s) prior to being sent to the sub-grantees. This review allows IHCDA to stay current on the issues being faced by each sub-grantee and work toward resolution of problem or weak areas. IHCDA 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

See Health & Safety Plan attached to the SF-424

V.8 Program Management

V.8.1 Overview and Organization

The Indiana Weatherization Assistance Program is administered by Indiana Housing and Community Development Authority (IHCDA). IHCDA 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. IHCDA is located in Indianapolis, IN.

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

- Kylene Welling – Chief of Staff and Chief Operating Officer
- Emily Krauser – Chief Deputy of Programs
- Greg Glassley – Director of Energy & Utility Programs
- Austen Hurt – Weatherization Manager
- Josh Pearson – Weatherization Grants Analyst
- Liv Scott – Weatherization Analyst
- Jamison Washington – Weatherization Multi-Family Project Lead
- Joely Pope – Energy & Utility Programs Special Projects Manager

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

Indiana utilizes 19 subrecipients to administer the Weatherization Assistance Program (WAP). 18 subrecipients are Community Action Agencies; 1 is a unit of local government.

Indiana Community Action Association (INCAA) provides training for Indiana. INCAA is IREC accredited in all four of DOE's Job Task Analyses and has three IREC Certified Trainers.

Hutson Homes will provide programmatic monitoring for 14 subrecipients, and Streamlined Solutions will provide programmatic monitoring for 5 subrecipients in the grant cycle. The Inspector, Inc and Indiana Energy Solutions will provide technical monitoring for all 19 subrecipients in the grant cycle. IHCDA will review reports before they are distributed to subrecipients.

V.8.2 Administrative Expenditure Limits

Administration

Subrecipients may spend up to 10% of the total grant amount expended on Administration costs. Costs associated with weatherization administration include fiscal, executive, support operations, rent and utilities, office supplies etc. This applies to staff engaged in program administration.

Subrecipients who receive less than \$350,000 will not receive additional Admin funding.

V.8.3 Monitoring Activities

Section 12: Monitoring

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12.1 Quality Assurance

The primary purpose of monitoring visits is to assist the Weatherization subrecipient in providing high-quality energy conservation services to low-income people. Monitoring also provides compliance review and information sharing to Weatherization subrecipients 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 IHCDA standards and regulations are followed.

12.2 Standards & Practices

IHCDA will conduct fiscal, technical, file, and program monitoring annually. IHCDA will review reports before they are distributed to subrecipients. The review is based on the standards established in this Policy and Procedure manual, the SWS, the current field guide, and WPNs, including 22-7. Monitoring has an annually revised preset schedule that changes when subrecipients are monitored throughout the year. Real time changes are adjusted to the schedule as necessary.

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. IHCDA staff and contracted monitors prepare the monitoring schedule and contact each subrecipient to schedule the appointments. Upon completion of the monitoring, the monitor will perform an exit conference to summarize issues found during monitoring, as well as to offer best practice recommendations.

Notification for program monitoring will include client files, financial information, procurement, training, contracts, subcontractors contracts, and IHCDA approvals. For Technical Monitoring visits, an exit conference may be delayed, conducted via telephone, or via webinars. Each area of the Program Review is explained in more detail below:

- **Program Administration** – IHCDA will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client redetermination.
- **DOE-approved energy audit tool (WAPLink-Wv10 API and MulTEA) Database reviews that subrecipient's price lists are up to date and current.**
- **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** - IHCDA monitors will review whether the Weatherization Program Manager is using appropriately trained/competent staff to perform various job functions. Maintenance of competencies must be entered in the training and certification management system in WAP Statewide Database, monitoring will evaluate these entries. 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. Subrecipient 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 WAP Statewide Database accurately and completely.
- **Fiscal** – IHCDA will perform financial monitoring for their Weatherization subrecipients. The financial monitoring will occur in conjunction with the Weatherization Program/File Monitoring. IHCDA 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.
 - Subrecipients 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 WAP Statewide 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 MyIHCDA's [Program Partners](#). *Appendix F*. These files will be reviewed for:
 - Correct forms
 - Accurate information
 - Work processes
 - Eligibility verification
 - Appropriate documentation and allowability of deferrals
 - Each approved energy audit modelling software 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 subrecipients with assistance in the technical aspects of the Wx program. IHCDA monitors will provide consultation while on site. If subrecipient personnel feel it necessary, and time allows, IHCDA monitoring personnel may be available for T&TA visits to the subrecipient.

IHCDA reviews all subrecipient financial audits annually.

Technical Monitoring

IHCDA will perform real-time Technical Monitoring for each Weatherization subrecipient 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 subrecipient 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 subrecipient diagnostic testing.

Monitors will use the current QC Inspection Form. A minimum of 5% of all DOE completed units will be monitored for those subrecipients utilizing an Independent QCI, and a minimum of 10% of all DOE completed units will be monitored for those subrecipients with an Energy Auditor/QCI. IHCDA reserves the right to monitor any unit including Capital Intensive unit(s). Subrecipient 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. Subrecipients 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.

IHCDA will conduct on-site **field inspections** of a sample of units pulled from the file review or at random from the WAP Statewide 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 subrecipient 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. Monitoring will ensure that the QCI has met the following minimum requirements in accordance with [10 CFR 440.16\(g\)](#) and [WAP Memorandum 010](#):

- 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 Program Manager or designated 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
 - All materials have been properly installed

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 subrecipient diagnostic testing.

Requests for Technical Monitoring include a list of units to visit as well as alternates when clients are unavailable. Subrecipients 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.

12.3 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 99% of Wx completions in Indiana utilize both DOE and LIHEAP funding.

12.4 Monitoring Reporting Process

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Monitoring Report

Each subrecipient will receive a copy of the monitoring report within 30 days from the completion of the monitoring visit. 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 energy audit tool (WAPLink-Wv10 API and MultTEA) review. Subrecipient'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 require corrective action by the subrecipient (e.g., Health and Safety issue).
- **Concerns** may require action by the subrecipient and tend to be low to medium intensity issues.
- **Recommendations** consist of suggestions to improve the weatherization program.
- **Future action items** consist of practices that do not meet the current standard in weatherization or are on an improvement path for the state. If future actions are not put into practice, they may result in concerns and/or findings in the future. All health and safety issues found to be the Subrecipient's responsibility must be repaired and will not fall under this category

All required actions must be performed within 30 days of receiving the report.

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

Any corrective action the subrecipient takes is considered an acknowledgment of the finding or concern. Failure by the subrecipient to respond within the response form within the established deadlines may result in claims being held by IHCDA until the proper response is received.

Monitoring Appeals Process

If the subrecipient disagrees with any item on the Wx Monitoring Report, the subrecipient must check the appropriate boxes and sign the response form within ten days of receiving it. Upon receipt of the Appeal IHCDA will have 10 days to request from the monitor or agency any additional documentation necessary to make an informed appeal response.

- If IHCDA **upholds** the subrecipients **Appeal**, the subrecipient will receive a revised response form that will be used to ensure all actionable items are completed.
- If IHCDA **does not uphold** the subrecipient's **Appeal**, (in-full or in-part) the subrecipient will receive an **IHCDA Appeal** reply within the Response Form.
- If the subrecipient **disagrees** (in-full or in-part) with IHCDA's **Appeal** reply, the subrecipient may submit a **Formal Appeal** in writing to the Director of Energy and Utilities within 10 days of receiving the **Appeal** reply.
- The Director of Energy and Utilities 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

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If all parties are in agreement with the report as written, the subrecipient 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 subrecipient will receive a Monitoring Completion letter from the monitor within 30 days.

12.5 Compliance

Compliance is essential in assuring overall program success. Subrecipients 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.

12.6 Corrective Action

Quality Improvement Plan

A subrecipient may be placed on a Quality Improvement Plan (QIP) when IHCDA determines deficiencies within their programs that need additional support. IHCDA may place a subrecipient on a QIP for the following reasons:

- Monitoring visits where serious, numerous, or recurring findings are found
 - General Administrative Deficiencies including late interim or closeout reports, late completion reporting, lack of procurement policies
 - Outdated cost allocation plans
 - Fiscal reporting issues that include failure to claim expenses on a monthly basis, repeated occurrences 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
 - At least 25% of client files reviewed are deemed ineligible
 - High risk outcome on the Risk Assessment
 - Failure by the subrecipient to utilize the QCI process correctly that may result in the affected completion being considered unallowable and all associated cost being returned to IHCDA
 - Multiple instances of poorly performed QC inspections
 - Other technical, programmatic, administrative, or fiscal findings
- Production and spending issues
 - Lack of production
 - Recurrent underperforming of production period benchmarks
 - Lack of reporting on the statewide database or claims in the claims system
 - Recurrent exceeding of ACPU and/or percentage caps beyond the allowable amount frequently

When the subrecipient is placed on a QIP, they will go through an Accountability Schedule that will be developed and agreed upon between the IHCDA and subrecipient Wx Manager. Additional monitoring will be placed on the subrecipient when deemed necessary. In cases where the subrecipient's QIP is based on Production, they will work based on a Production Calculator that will create a plan for how they will complete production for the remainder of the production period and into the next production period.

Should the QIP fail to correct the issues, IHCDA will pursue further remedies for noncompliance within the manual and contracts. The subrecipient's Wx Manager may not be the QCI and Energy Auditor combination staff member.

More restrictive fiscal accountability may be required of subrecipients by IHCDA should IHCDA determine that a subrecipient is financially unstable, has a history of poor accountability, or has a management system which does not meet the standards required by the IHCDA, State of Indiana, or the US Government.

Subrecipients on QIP must adhere to the following requirements:

- Report completions in the WAP Statewide Database within **10 days** invoices are received
- Claim on the claims system within **30 days** invoices are received
- Plan and use the Production Calculator
- Report client list weekly
- Import all client applications that are at audit
- Claims cannot be claimed on any production budget categories without a unit attached

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- Must explain reasons for missing goals

Subrecipient's on QIP who fail to meet requirements and corrective actions may be placed on a Tiered Allocation.

Tiered Allocation

Subrecipients which have failed to meet program expenditure benchmarks, quality improvement plan, 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, subrecipients must expend funds according to a structured schedule. The performance benchmarks or expenditure percentages, when possible, are based on the subrecipient's performance in prior years.

Subrecipients on a Tiered Allocation must utilize the current tier of funding within the specified period in order to receive the next tier of funding. Failure to meet expenditure benchmarks may result in a reduction of funding. Tiered allocation may be included as part of the subrecipient grant agreement, when applicable. Subrecipients 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, based on the following:

- Subrecipient failure to exit a QIP within two Program Years
- Subrecipient failure to meet expenditures and/or benchmarks
- Subrecipient shows financial, administrative, programmatic, or technical challenges

In the case where a subrecipient voluntarily gives up one or more counties, they will also have a reduction of funding.

Reallocation of Funds

Subrecipients 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 IHCDA's discretion. Any reallocation will be to ensure proper utilization of Weatherization funds throughout the program year.

Subrecipients 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 or Tiered funding status
- Achieved quarterly benchmarks
- Financial and program management capacity

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

This will include a comparison of production as recorded in WAP Statewide Database and the amount of grant funds claimed through IHCDAOnline. This will be used to track whether or not subrecipients 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

Subrecipients on a QIP, 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 subrecipients based on the approved allocation formula.

Request for Qualifications (RFQ) and Request for Proposals (RFP)

IHCDA may post an RFQ or RFP to identify organizations suitable to provide services within a particular 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 subrecipient 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

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subrecipients. Eligible applicants will be determined based on the Federal regulations for the WAP Statewide Database. IHCDA will make a reasonable effort to assess if there is an adjacent, existing subrecipient to support service delivery. Subrecipients are encouraged to seek assistance from other subrecipients who have the capacity to provide support. This step could result in avoiding the need for the RFQ/RFP process.

The RFQ/RFP may also be posted for the following reasons including, but not limited to:

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

V.8.4 Training and Technical Assistance Approach and Activities

See T&TA Plan attached to the SF-424.

Percent of overall trainings

| | |
|--------------------------|------|
| Comprehensive Trainings: | 48.0 |
| Specific Trainings: | 52.0 |

Breakdown of T&TA training budget

| | |
|--|------|
| Percent of budget allocated to Auditor/QCI trainings: | 40.0 |
| Percent of budget allocated to Crew/Installer trainings: | 40.0 |
| Percent of budget allocated to Management/Financial trainings: | 20.0 |

V.9 Energy Crisis and Disaster Plan

IHCDA will follow the guidance for Energy Crisis and Disaster Plan as outlined in WPN 24-1.

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 24-1 [10 CFR 440.18](#) and require approval from IHCDA prior to engaging in any disaster related activity.