

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		2. Type of Application: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision		If Revision, select appropriate letter(s) Other (specify):	
3. Date Received			4. Applicant Identifier:		
5a. Fed Entity Identifier:		5b. Federal Award Identifier: DE-EE0007944			
<b>State Use Only:</b>					
6. Date Received by State:			7. State Application Identifier:		
<b>8. APPLICANT INFORMATION:</b>					
a. Legal Name: STATE OF OKLAHOMA					
b. Employer/Taxpayer Identification Number (EIN/TIN): 736017987			c. Organizational DUNS: 824700058		
<b>d. Address:</b>					
Street 1: 900 N. Stiles Street 2: City: OKLAHOMA CITY County: OKLAHOMA County State: OK Province: Country: U.S.A. Zip / Postal Code: 731043234					
<b>e. Organizational Unit:</b>					
Department Name: Oklahoma Dept of Commerce			Division Name: Community Development		
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>					
Prefix: First Name: Vaughn Middle Name: Last Name: Clark Suffix:					
Title: Director of Community Development					
Organizational Affiliation: Oklahoma Department of Commerce					
Telephone Number: 4058155370			Fax Number:		
Email: vaughn.clark@okcommerce.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-0002018

Title:

2018 Weatherization Assistance Program Funding

**13. Competition Identification Number:**

Title:

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

State of Oklahoma

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

DOE PY 2018



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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Big Five Community Services, Inc. (Durant)	\$99,388.00 10
CAA of OKC, Oklahoma/Canadian Counties (Oklahoma City)	\$468,045.00 55
Community Action Development Corporation (Frederick)	\$78,349.00 8
Community Action Resource & Development (Claremore)	\$212,632.00 25
Community Development Support Association (Enid)	\$41,169.00 5
Deep Fork Community Action Fdn. (Okmulgee)	\$138,868.00 15
Delta Community Action Fdn. (Lindsay)	\$63,885.00 8
Great Plains Improvement Fdn. (Lawton)	\$59,770.00 5
INCA Community Services, Inc. (Tishomingo)	\$48,861.00 5
KiBois Community Action Fdn. (Stigler)	\$133,114.00 14
Little Dixie Community Action Agency (Hugo)	\$79,802.00 7
Northeast Oklahoma Community Action Agency (Jay)	\$165,303.00 19
Opportunities, Inc. (Watonga)	\$148,353.00 15
Southwest Oklahoma Community Action Group (Altus)	\$34,287.00 5
United Community Action Program (Pawnee)	\$312,456.00 38
<b>Total:</b>	<b>\$2,084,282.00</b> <b>234</b>

**IV.2 WAP Production Schedule**

<b>Weatherization Plans</b>	<b>Units</b>
Total Units (excluding reweatherized)	234
Reweatherized Units	0

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

<b>Average Unit Costs, Units subject to DOE Project Rules</b>		
<b>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	234
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	234

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<b>AVERAGE COST PER DWELLING UNIT (DOE RULES)</b>		
F	Total Funds for Program Operations	\$1,510,163.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	234
H	Average Program Operations Costs per Unit (F divided by G)	\$6,453.69
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,453.69

**IV.3 Energy Savings**

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	234	29.3	6856
Prior Year Estimate	234	29.3	6856
Prior Year Actual	54	29.3	1582
<b>Method used to calculate savings description:</b>			

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

N/A
-----

**IV.5 Policy Advisory Council Members**

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

Casey Letran	Type of organization: Unit of State Government Contact Name: Phone: 4055214390 Email: <a href="mailto:casey.letran@okdhs.org">casey.letran@okdhs.org</a>
Catherine Woods	Type of organization: Unit of State Government Contact Name: Phone: 4055216381 Email: <a href="mailto:cwood@okhistory.org">cwood@okhistory.org</a>
Donney Dorton	Type of organization: Utility Contact Name: Phone: 4055533712 Email: <a href="mailto:DORTONDR@OGE.COM">DORTONDR@OGE.COM</a>
James Lamey	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 4052324828803 Email: <a href="mailto:james.lamey@cofhf.org">james.lamey@cofhf.org</a>
Jeff Brown	Type of organization: Utility Contact Name: Phone: 9185992166 Email: <a href="mailto:jebrown1@aep.com">jebrown1@aep.com</a>
Johnny Field	Type of organization: Other Contact Name: Phone: 4054129426 Email: <a href="mailto:workrite96@yahoo.com">workrite96@yahoo.com</a>
Michael Jones	Type of organization: Local agency Contact Name: Phone: (405)949-1495 Email: <a href="mailto:michaeljones@okacaa.org">michaeljones@okacaa.org</a>

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

Palma Lough	Type of organization: Utility Contact Name: Phone: 4053592514 Email: <a href="mailto:plough@ompa.com">plough@ompa.com</a>
Sharon Wise	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 4059644663 Email: <a href="mailto:sharonwise@nahsi.org">sharonwise@nahsi.org</a>
Sid Perry	Type of organization: Utility Contact Name: Phone: 4056277754 Email: <a href="mailto:sksperry@oaec.coop">sksperry@oaec.coop</a>
Teri Green	Type of organization: Utility Contact Name: Phone: 4055521802 Email: <a href="mailto:Teri.Green@oklahomanaturalgas.com">Teri.Green@oklahomanaturalgas.com</a>
Victoria Stewart	Type of organization: Other Contact Name: Phone: 4059491495 Email: <a href="mailto:victoria.stewart@okacaa.org">victoria.stewart@okacaa.org</a>

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
02/08/2017	The notice was sent to all major state and local newspapers on DATE TO BE ENTERED. The following we were able to track: WILL PROVIDE LIST OF NEWSPAPERS/MEDIA AND PUBLICATION DATES

**IV.7 Miscellaneous**

<p><b><u>Oklahoma WAP Recipient Business Officer - Vaughn Clark, Director of Community Development.</u></b> Contact information: email: <a href="mailto:vaughn.clark@okcommerce.gov">vaughn.clark@okcommerce.gov</a>, or tel: (405) 815-5370.</p> <p><b><u>Oklahoma WAP Recipient Principal Investigator - Amanda Marcott-Thottunkal, Program Planner</u></b> Contact information: email: <a href="mailto:Amanda.Marcott-Thottunkal@okcommerce.gov">Amanda.Marcott-Thottunkal@okcommerce.gov</a> or tel: (405) 239-0688</p> <p>-</p>
--

DOE F 540.5  
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: OK Grant Number: EE0007944 Program Year: 2018

Name:	<b>Big Five Community Services, Inc.</b>	Contact:	Allen Leaird, Weatherization Director
		DUNS:	122365232
Address:	P.O. Box 1577 1502 N. First Durant, OK 74702--1577	Phone:	(580) 924-5331
		Fax:	(580) 920-2004
		Email:	aleaird@bigfive.org
Counties served:	BRYAN County LOVE County PONTOTOC County COAL County CARTER County	Tentative allocation:	\$ 99,388.00
		Planned units:	10
		Type of organization:	Local agency
		Source of labor:	Agency and Contractors
		Congressional districts served:	<u>CD</u> OK-04 OK-02

Name:	<b>CAA of OKC, Oklahoma/Canadian Counties</b>	Contact:	Bob Roberson, Weatherization Director
		DUNS:	074282765
Address:	319 SW 25th Street Oklahoma City, OK 73109	Phone:	(405) 232-0199
		Fax:	(405) 232-9074
		Email:	broberson@caaofokc.org
Counties served:	CANADIAN County GRADY County OKLAHOMA County CLEVELAND County CADDO County	Tentative allocation:	\$ 468,045.00
		Planned units:	55
		Type of organization:	Local agency
		Source of labor:	Agency and Contractors
		Congressional districts served:	<u>CD</u> OK-03 OK-04 OK-05

Name:	<b>Community Action Development Corporation</b>	Contact:	Robert Meador, Weatherization Director
		DUNS:	944789593
Address:	PO Box 989 Frederick, OK 73542--0989	Phone:	(580) 335-5588
		Fax:	(580) 335-3092
		Email:	rwmeador@pldi.net
Counties served:	KIOWA County ROGER MILLS County JEFFERSON County BECKHAM County COTTON County TILLMAN County WASHITA County	Tentative allocation:	\$ 78,349.00
		Planned units:	8
		Type of organization:	Local agency
		Source of labor:	Agency
		Congressional districts served:	<u>CD</u> OK-03 OK-04

Name:	<b>Community Action Resource &amp; Development</b>	Contact:	Scott Higeons, Weatherization Director
		DUNS:	960736049
Address:	PO Box 947 Claremore, OK 74018--0947	Phone:	(918) 341-5000
		Fax:	(918) 343-3663
		Email:	shigeons@cardcaa.org

DOE F 540.5  
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127  
Expiration Date: 02/29/2020

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: OK Grant Number: EE0007944 Program Year: 2018

Counties served:	WASHINGTON County WAGONER County ROGERS County MAYES County NOWATA County TULSA County	Tentative allocation: \$ 212,632.00 Planned units: 25 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-02 OK-01
		Source of labor: Agency and Contractors		

Name:	<b>Community Development Support Association</b>	Contact:	Cheri Ezzell, Executive Director
		DUNS:	802308759
Address:	2615 East Randolph Enid, OK 73701-4670	Phone:	(580) 242-6131
		Fax:	(580) 234-3554
		Email:	cheri.ezzell@cdaok.org

Counties served:	GRANT County GARFIELD County	Tentative allocation: \$ 41,169.00 Planned units: 5 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-03
		Source of labor: Agency		

Name:	<b>Deep Fork Community Action Fdn.</b>	Contact:	Christie Baldrige, Executive Director
		DUNS:	119737203
Address:	PO Box 670 Okmulgee, OK 74447-0670	Phone:	(918) 756-2826
		Fax:	(918) 756-6929
		Email:	weatherization@dfcaf.org

Counties served:	OKMULGEE County POTTAWATOMIE County OKFUSKEE County MCINTOSH County HUGHES County SEMINOLE County	Tentative allocation: \$ 138,868.00 Planned units: 15 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-02 OK-05
		Source of labor: Agency		

Name:	<b>Delta Community Action Fdn.</b>	Contact:	Tina Tucker, Weatherization Director
		DUNS:	102388675
Address:	308 Southwest 2nd Street Lindsay, OK 73052	Phone:	(405) 756-1100
		Fax:	(405) 527-6538
		Email:	tinab60@windstream.net

Counties served:	GARVIN County MCCLAIN County STEPHENS County	Tentative allocation: \$ 63,885.00 Planned units: 8 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-04
		Source of labor: Contractors		

Name:	<b>Great Plains Improvement Fdn.</b>	Contact:	Virginia Spencer, Executive Director
		DUNS:	070845706
Address:	PO Box 926 Lawton, OK 73502-0926	Phone:	(580) 353-2364
		Fax:	(580) 353-1952
		Email:	vspencer@gpif-caa.org



DOE F 540.5  
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: OK Grant Number: EE0007944 Program Year: 2018

Counties served:	COMANCHE County	Tentative allocation: \$ 59,770.00	Congressional districts served:	<u>CD</u> OK-04
		Planned units: 5		
		Type of organization: Local agency		
		Source of labor: Agency and Contractors		

Name:	<b>INCA Community Services, Inc.</b>	Contact:	LaQuita Thornley, Executive Director
		DUNS:	119850428
Address:	PO Box 68 Tishomingo, OK 73460-0068	Phone:	(580) 371-2352
		Fax:	(580) 371-3085
		Email:	l.thornley@incacaa.org

Counties served:	MARSHALL County JOHNSTON County ATOKA County MURRAY County	Tentative allocation: \$ 48,861.00	Congressional districts served:	<u>CD</u> OK-04 OK-02
		Planned units: 5		
		Type of organization: Local agency		
		Source of labor: Contractors		

Name:	<b>KiBois Community Action Fdn.</b>	Contact:	John Jones, Weatherization Director
		DUNS:	119765923
Address:	PO Box 727 Stigler, OK 74462--0727	Phone:	(918) 967-3325
		Fax:	(918) 967-8660
		Email:	john.jones@kibois.org

Counties served:	PITTSBURG County LATIMER County HASKELL County SEQUOYAH County LE FLORE County	Tentative allocation: \$ 133,114.00	Congressional districts served:	<u>CD</u> OK-02
		Planned units: 14		
		Type of organization: Local agency		
		Source of labor: Agency		

Name:	<b>Little Dixie Community Action Agency</b>	Contact:	Ron Walker, Weatherization Director
		DUNS:	095453171
Address:	502 West Duke Street Hugo, OK 74743-3299	Phone:	(580) 326-3351
		Fax:	(580) 326-2305
		Email:	rwalker@ldcaa.org

Counties served:	PUSHMATAHA County MCCURTAIN County CHOCTAW County	Tentative allocation: \$ 79,802.00	Congressional districts served:	<u>CD</u> OK-02
		Planned units: 7		
		Type of organization: Local agency		
		Source of labor: Agency		

Name:	<b>Northeast Oklahoma Community Action Agency</b>	Contact:	Debby Foreman, Weatherization Director
		DUNS:	088270756
Address:	Box 603 Jay, OK 74346--0603	Phone:	(918) 253-4683
		Fax:	(918) 253-6059
		Email:	dforeman@neocaa.org

DOE F 540.5  
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: OK Grant Number: EE0007944 Program Year: 2018

Counties served: MUSKOGEE County OTTAWA County DELAWARE County ADAIR County CRAIG County CHEROKEE County	Tentative allocation: \$ 165,303.00 Planned units: 19 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-02
Source of labor: Agency			

Name: <b>Opportunities, Inc.</b>	Contact: Brian Rice, Weatherization Director DUNS: 081406522
Address: PO Box 569 Watonga, OK 73772-0569	Phone: (580) 623-7283 Fax: (580) 623-7290 Email: brice@oppincok.org

Counties served: CUSTER County WOODWARD County CIMARRON County ALFALFA County MAJOR County BLAINE County DEWEY County HARPER County WOODS County ELLIS County TEXAS County BEAVER County KINGFISHER County	Tentative allocation: \$ 148,353.00 Planned units: 15 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-03
Source of labor: Agency			

Name: <b>Southwest Oklahoma Community Action Group</b>	Contact: Mary Whitman, Weatherization Director DUNS: 159300789
Address: PO Drawer 1088 Altus, OK 73522-1088	Phone: (580) 482-5040 Fax: (580) 482-5433 Email: mary.whitman@socag.org

Counties served: HARMON County JACKSON County GREER County	Tentative allocation: \$ 34,287.00 Planned units: 5 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-03
Source of labor: Agency			

Name: <b>United Community Action Program</b>	Contact: Jeff Waters, Weatherization Director DUNS: 072427800
Address: 501 6th Street Pawnee, OK 74058--0384	Phone: (918) 762-3041 Fax: (918) 762-3418 Email: jwaters@ucapinc.org

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: OK Grant Number: EE0007944 Program Year: 2018

---

Counties served: TULSA County NOBLE County KAY County PAWNEE County OSAGE County LINCOLN County CREEK County LOGAN County PAYNE County	Tentative allocation: \$ 312,456.00 Planned units: 38 Type of organization: Local agency	Congressional districts served:	<u>CD</u> OK-01 OK-03
Source of labor: Contractors			

---

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0007944		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address STATE OF OKLAHOMA 900 N. Stiles OKLAHOMA CITY, OK 731043234		4. Program/Project Start Date 04/01/2018	5. Completion Date 03/31/2019

**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. DOE	81.042	\$ 0.00		\$ 2,426,960.00		\$ 2,426,960.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 2,426,960.00	\$ 0.00	\$ 2,426,960.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 56,715.00	\$ 0.00	\$ 23,231.00	\$ 0.00	\$ 79,946.00
b. Fringe Benefits	\$ 22,686.00	\$ 0.00	\$ 9,292.00	\$ 0.00	\$ 31,978.00
c. Travel	\$ 0.00	\$ 0.00	\$ 7,843.00	\$ 0.00	\$ 7,843.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 1,041.00	\$ 0.00	\$ 1,041.00
f. Contract	\$ 3,072.00	\$ 152,704.00	\$ 164,000.00	\$ 189,959.00	\$ 2,251,354.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 82,473.00	\$ 152,704.00	\$ 205,407.00	\$ 189,959.00	\$ 2,372,162.00
j. Indirect Costs	\$ 38,875.00	\$ 0.00	\$ 15,923.00	\$ 0.00	\$ 54,798.00
k. Totals	\$ 121,348.00	\$ 152,704.00	\$ 221,330.00	\$ 189,959.00	\$ 2,426,960.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0007944		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address STATE OF OKLAHOMA 900 N. Stiles OKLAHOMA CITY, OK 731043234		4. Program/Project Start Date 04/01/2018	5. Completion Date 03/31/2019

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	\$ 2,426,960.00	\$ 0.00	\$ 2,426,960.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 79,946.00	
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 31,978.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 7,843.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,041.00	
f. Contract	\$ 1,510,163.00	\$ 213,879.00	\$ 10,577.00	\$ 7,000.00	\$ 2,251,354.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
i. Total Direct Charges	\$ 1,510,163.00	\$ 213,879.00	\$ 10,577.00	\$ 7,000.00	\$ 2,372,162.00	
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 54,798.00	
k. Totals	\$ 1,510,163.00	\$ 213,879.00	\$ 10,577.00	\$ 7,000.00	\$ 2,426,960.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

**U.S. DEPARTMENT OF ENERGY**



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: STATE OF OKLAHOMA  
Award number: EE0007944

Budget period: 04/01/2018 - 03/31/2019

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

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

<u>Position</u>	<u>Description of Duties of Professionals</u>
Program Planner/Manager	Responsible for design and planning of the program
Director of Programs - Planning	Manages Program Planning
Division Director	Responsible for overall management of division
Senior Program Monitor/Liaison #1	Performs monitoring and technical assistance duties. Assist as WAP program manager "backup"
Program Rep/Liaison #2	Performs monitoring and technical assistance duties
Program Rep/Liaison #3	Performs monitoring and technical assistance duties
Executive Secretary	Performs support services for program activities
Financial Program Manager/Budget Officer	Provides financial oversight of program
Program Planner (OKgrants)	Provides IT support for subgrantee financial and programmatic database
Program Rep/Contract Developer	Develops and provide oversight of contract development with subgrantees
Director of Programs - Monitoring	Responsible for Monitoring of Weatherization Program
Deputy Director	Responsible for overseeing the division as deputy to the division director.

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Program Planner/Manager	\$52,000.00	65.0001 % FT	\$33,800.05
Director of Programs - Planning	\$63,000.00	10.0000 % FT	\$6,300.00
Division Director	\$83,900.00	1.9999 % FT	\$1,677.92
Senior Program Monitor/Liaison #1	\$50,000.00	19.9999 % FT	\$9,999.95
Program Rep/Liaison #2	\$45,000.00	11.9999 % FT	\$5,399.96
Program Rep/Liaison #3	\$45,000.00	11.9999 % FT	\$5,399.96
Executive Secretary	\$43,000.00	4.9999 % FT	\$2,149.96
Financial Program Manager/Budget Officer	\$59,869.00	5.0000 % FT	\$2,993.45
Program Planner (OKgrants)	\$50,000.00	4.9999 % FT	\$2,499.95
Program Rep/Contract Developer	\$46,000.00	4.9999 % FT	\$2,299.95
Director of Programs - Monitoring	\$63,000.00	9.9999 % FT	\$6,299.94
Deputy Director	\$75,000.00	1.4999 % FT	\$1,124.93
		Direct Pay Total	\$79,946.02

**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.

**The Oklahoma Department of Commerce computed fringe rates at a base of 40% of personnel costs in Section 1 above; personnel costs were determined from current salary information. Fringe benefit costs include unemployment insurance, workers' compensation, F.I.C.A., group insurance, deferred savings incentive plan, health insurance, and retirement system costs.**

Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Program Planner/Manager	\$33,800.05	40.0000 %	\$13,520.02
Director of Programs - Planning	\$6,300.00	40.0000 %	\$2,520.00
Division Director	\$1,677.92	40.0000 %	\$671.17
Senior Program Monitor/Liaison #1	\$9,999.95	40.0000 %	\$3,999.98
Program Rep/Liaison #2	\$5,399.96	40.0000 %	\$2,159.98
Program Rep/Liaison #3	\$5,399.96	40.0000 %	\$2,159.98
Executive Secretary	\$2,149.96	40.0000 %	\$859.98
Financial Program Manager/Budget Officer	\$2,993.45	40.0000 %	\$1,197.38
Program Planner (OKgrants)	\$2,499.95	40.0000 %	\$999.98
Program Rep/Contract Developer	\$2,299.95	40.0000 %	\$919.98
Director of Programs - Monitoring	\$6,299.94	40.0000 %	\$2,519.98
Deputy Director	\$1,124.93	40.0000 %	\$449.97
		Fringe Benefits Total	\$31,978.40

**3. TRAVEL**

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

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
Monitoring travel costs	15	\$256.00	\$3,840.00
National Weatherization Conferences (e.g. NASCSP) for ODOC Program Manager and other staff (such as division director). However, only 100% of travel charges would be billed for Program Manger. Other staff would only be a percentage.	2	\$2,001.50	\$4,003.00
		Travel Total	\$7,843.00

- 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.

Costs estimates are based on past trips of a similar nature, considering hotel, travel, allowable per diem, and other costs within the available budget.

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

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

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
------------------	------------------	---------------	-------------------	------------------------------

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

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

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

<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
T/TA Supplies	\$1,041.00	Supplies for Grantee T/TA or monitoring activities, fees associated with the database to track monitoring, or educational materials required for technical assistance.
Materials and Supplies Total	\$1,041.00	

- 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.

Monitoring equipment or fees, and/or monitoring supplies.

**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).

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Subgrantees (15) Listed in Annual File, Sec. IV.1	\$2,084,282.00	Includes all funds allocated to: Subgrantee Administration; Subgrantee T&TA; Program Operations; Health and Safety; Liability Insurance; and Financial Audit
Okla. Association of Community Action Agencies	\$109,000.00	OKACAA is managing Oklahoma's Weatherization Training. This contract is to assist OKACAA in paying for Training Center lease, and any additional fees associated with running this facility while assisting ODOC with training for OK WAP network. In addition, the OK Training Director at OKACAA will work with ODOC on policy and training development. This will continue the partnership between ODOC and OKACAA in providing effective training and technical assistance to our WAP network.
Contract with State QCI	\$55,000.00	ODOC is releasing an RFP for State QCI services January 2018. This is the amount we have budgeted for award.
OkGrants	\$3,072.00	Advertised RFP; The OKGrants management system is used by the grantee in managing the WAP grant. The amount budgeted reflects a portion of the annual costs of this online system.
Contracts and Subgrants Total	\$2,251,354.00	

\*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
---------------------	------	-----------------------

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

8. **INDIRECT COSTS**

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

The U. S. Department of Labor approved the indirect cost rate of 48.96% through 6/30/18, and this rate was used for the full calculation of the indirect costs for the 2018 WAP budget. The Indirect Rate Agreement is attached on the SF-424.

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: ( ) - \_\_\_\_\_

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
Grantee T/TA	\$32,523.00	48.9600 %	\$15,923.26
Grantee Admin	\$79,401.00	48.9600 %	\$38,874.73
		Indirect Costs Total	\$54,797.99

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

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

See CAA Implementation Manual Requirement 301, Section II A

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

Oklahoma defines eligibility for WAP services at the 200% of poverty level, as defined in the annual WPN - Poverty Income Guidelines. Oklahoma Subgrantee Recipients are required to accumulate 12 months past income documentation to determine client eligibility. If an applicant is on a waiting list for over 12 months income verification will have to be updated annually. Therefore, no dwelling unit will be weatherized without documentation that the unit is an eligible dwelling unit (notarized self-certification of "no" income allowable).

Per annual WPN 17-3 - The Oklahoma Department of Commerce Definition of Income includes language from "income or cash receipts earned or received by the applicant before taxes during applicable tax years, but not the Income Exclusions listed in 17-3 Section C. Gross Income is to be used, not Net Income."

Describe what household Eligibility basis will be used in the Program

See CAA Implementation Manual Requirement 301, Section II A

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

Oklahoma will use the current DOE weatherization eligibility criteria of 200% of Federal Poverty Guidelines to determine program eligibility. The DOE definition of income will be used to define what constitutes income.

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

Per CAA Implementation Manual, Requirement #103, Affirmative Action Requirements, Section I

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

No person shall, on the grounds of race, color, national origin, religion, sex, age, familial status or disability, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program, project or activity funded in whole or in part with funds made available by ODOC.

Weatherization Applicants are required to provide either a Social Security Number or residency paperwork to apply for the program.

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

Procedures to determine that units weatherized have eligibility documentation

Per CAA Implementation Manual Requirement #301, Section II.D - Procedures for Application processing  
([http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)):

Procedures for Application Processing:

1. Subgrantee agencies shall use the Weatherization Assistance Program Application [**Form 22**] to determine eligibility of the applicant. (which includes income verification).

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

2. If the applicant has no evidence of income, or no-income, the contractor must collect a Notarized Certification of Zero Income Form from the applicant **[Form 34]**.
3. Supporting Documentation- For purpose of review and audit, each file must contain an application from the client that contains the required demographics and income for the entire family living in residence. The demographics should include the same information as what is included on the Weatherization DOE Quarterly report (age, disabled, blind, race - Native American, children, high residential energy user, household with high energy burden) and this data must be collected and included in each client file.
4. If the applicant is eligible, subgrantee agencies shall prepare a Weatherization Needs Assessment/Priority System **[Form 23]**. Ineligible applicants must be notified in writing with a Weatherization Denial/Deferral Form **[Form 33]**. If the initial assessment indicates a need for the applicant to remedy an issue, the applicant must be notified with a Deferral of Service **[Form 33]**.
5. The application should then be reviewed by internal review procedures and selected for service and prioritized based upon need.

Also maintained in the client file is owner and rental documentation. (see Requirement 304 - Client File)

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

Describe Reweathering compliance

Per CAA Implementation Manual Policy Requirement # 301, Section II. A. 4.

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

All Contracts: Contractor shall not weatherize a unit which:

1. Is designated for acquisition or clearance by a federal, state or local program within 12 months from the date weatherization of the dwelling unit would be scheduled to be completed; or
2. Was previously weatherized with ODOC funds, except:
  - a. If such dwelling units have been damaged by fire, flood or Act of God and repair of the damage to weatherization material is not paid for by insurance; or
  - b. If the unit was weatherized during the period September 30, 1975, through September 30, 1994, it may be eligible for **re-weatherization**. These homes will be reported separately .

Subgrantee agencies may count these homes as completions for the purposes of compliance with the per-home expenditure limits. Each dwelling unit must receive a new energy audit that takes into account any previous energy conservation improvements to the dwelling.

Describe what structures are eligible for weatherization

Per CAA Implementation Manual Requirement # 301:

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

Eligible buildings include owner and renter-occupied single-family homes, manufactured homes (mobile homes), and multifamily buildings.

With written approval from the Oklahoma Department of Commerce, Office of Community Development (ODOC/OCD), subgrantee agencies may weatherize shelters that comply with the definitions below:

1. Shelter means a dwelling unit or units whose principal purpose is to house, on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities;

2. Shelters shall be counted as one (1) unit per each 800 square feet or each floor of the unit

shall be considered as one (1) unit;

3. Expenditures to service shelters are limited to twenty percent (20%) of each weatherization contract;

4. Requests to provide services to shelters should include an analysis of the cost/benefit to clients and cost benefit for energy savings when compared with serving family units.

**Historic Preservation:**

Oklahoma WAP has a signed SHPO Programmatic Agreement dated 3/29/2010. The PA lists exempt activities/undertakings generally conducted in the process of weatherizing homes through Oklahoma WAP, which have been determined to have no potential to cause effects on historic properties. The OK WAP PA is included in the SF-424 attachments section.

Describe how Rental Units/Multifamily Buildings will be addressed

Per CAA Implementation Manual Requirement #301, Section II. A. 4 & 5

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

A subgrantee may weatherize a multifamily building, defined as duplexes, three and four unit buildings, and buildings with more than 5 units, if the following eligibility is met and written approval from ODOC has been obtained. Audit approval by DOE for buildings with 5 or more units will be required; single family audits are approved for multifamily buildings with 2-4 units.

Buildings are eligible if not less than 66 percent (50 percent for duplexes and four unit buildings) of the dwelling units in the building are eligible, or will become eligible dwelling units within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvements to the building;

- A subgrantee recipient may weatherize a building containing rental dwelling units where:
  - The subgrantee recipient has obtained the written permission of the owner or owner's agent;
  - The subgrantee recipient has established procedures for dwellings consisting of a rental unit or units to ensure that:
    1. The benefits of weatherization assistance in connection with such rental units, including units where the tenants pay for their energy through their rent, will accrue primarily to the low-income tenants residing in such units;
    2. For a reasonable period of time, which is defined as a period of three years, after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are demonstrably related to matters other than the weatherization work performed;
    3. Tenants may file a complaint first with the local Community Action Agency then with the Oklahoma Department of Commerce/Office of Community Development if the complaint is not resolved. The owners must demonstrate that the rent increase concerned is related to matters other than the weatherization work performed; [See Requirement 103 Applicant Appeals]
    4. No undue or excessive enhancement shall occur to the value of the dwelling units. The expenditures allowed under the Weatherization Assistance Program help focus enhancements on those that provide weatherization benefits. For example, repairs to a dwelling unit must be necessary to make the installation of weatherization materials effective.

Note: Multi-family Buildings with 100 or more units: For PY 2018, it is unlikely OK WAP will weatherize rental units in a large MF building. The largest subgrantee in OK will weatherize approximately 50 units for the entire program year, so it is not feasible to plan for this type of weatherization

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

Describe the deferral Process

See CAA Implementation Manual Requirement 310 for Deferral Process (after April 1, 2018)

[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

### **I. CONTRACTUAL REQUIREMENTS**

A. Subgrantee Recipients must ensure that clients meet eligibility requirements and that units are a reasonable candidate for weatherization.

B. Subgrantee Recipients shall establish procedures to comply with the requirements of [10 CFR 440.22\[1\]](#), Eligible Dwelling Units, to assist eligible households, maximize energy conservation, and minimize health and safety risk associated with Weatherization work.

### **II. TERMS AND DEFINITIONS:**

**Deferral** A client that meets eligibility requirements (for example, income), but the unit occupied by the client is not a reasonable candidate for weatherization. This is a distinction from ineligible applicants who must be denied.

**Denial** A client or unit that does not meet eligibility requirements.

**Eligible** A client and unit are eligible for weatherization services if they meet the criteria outlined in Requirement 301. Both the client and unit must be eligible to receive weatherization services.

**Ineligible** A client who does not meet eligibility requirements (for example, over the income requirements) or a unit that does not meet current eligibility requirements (for example, the home has already been weatherized)

### **III. PROCEDURES**

Deferring work on a home is a difficult, but sometimes a necessary decision. This does not mean that assistance will never be provided, but that work must be postponed until the problems can be resolved by the applicant or client and/or alternative sources of help are found. Subgrantee Recipients, which includes crews and contractors, are expected to pursue options on behalf of the applicant or client, including referrals, and to use reasonable judgment in dealing with difficult situations. Subgrantee Recipients should review Requirement 307 and resolve any allowable Health and Safety issues that are identified in a client home, provided they are within their budget. A list of possible program referrals is provided under *V. References*.

**This deferral policy provides general requirements and situations for deferral and most situations can be guided by this policy. However, it is possible that unique conditions will arise that are not specifically outlined here. Subgrantee Recipients should contact their ODOC liaison for assistance, before deferral, as appropriate.**

#### **1. CATEGORIES OF DEFERAL/DENIAL**

A. In general, there are three situations that require a denial or deferral. All three situations require that the applicant or client be notified in writing using the Weatherization Denial/Deferral Form **[Form 33]**

a. An applicant or unit determined to be ineligible for the program must be denied. For example, an applicant may be over income or a unit may have already been weatherized.

b. An initial assessment may indicate the need for an applicant or client to remedy a health and safety issue. These applicants or clients should be deferred until documentation can be provided to the Subgrantee Recipient that the situation identified has been remedied.

c. If during the course of weatherization work, a previously unidentified health and safety issue is now identified, Requirement 307 must be adhered to. In some cases, this might mean that weatherization work must cease until the client can resolve the issue by providing documentation to the Subgrantee Recipient of the resolution.

#### **2. DATA TRACKING**

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

A. The Subgrantee recipient is required to track the following data on both denials and deferrals for both DHS [Form 47] and DOE [OKgrants Quarterly Progress Report].

- i. Applicants that did not meet income eligibility requirements.
- ii. Applicants or clients whose homes are not safe to weatherize, and corrections to make the home safe were outside the scope of Requirement 307.
- iii. Applicants or clients whose homes need repair work beyond the scope of the program.
- iv. Applicants or clients whose homes needed more health and safety work done than the Subgrantee budget allowed.
- v. Any other reason a home is deferred or an applicant was found to be ineligible.

### 3. DEFERRAL REASONS

A. The following is a list of reasons why a home may/must be deferred. Please note this is not an exhaustive list. Subgrantee Recipients should contact their ODOC liaison for any questions or concerns before deferring a home.

- a. The client has known health conditions that prohibit the installation of insulation and other weatherization materials because the health conditions might be exacerbated by starting or continuing weatherization work.
- b. The building structure or its mechanical systems, including electrical and plumbing are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
- c. The building structure has deteriorated to such an extent that prevent diagnostics or weatherization measures to be completed.
- d. The house has sewage, feces or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
- e. Infestation of pests that cannot be resolved following Requirement 307.
- f. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- g. Moisture problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
- h. Dangerous conditions, such as high carbon monoxide levels in combustion appliances, improperly stored chemicals, or other fire hazards that cannot be resolved under existing health and safety measures.
- a. The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
- j. Unsecured or aggressive pets that prevent workers from safely completing their work.
- k. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
  - l. In the finding of the energy auditor, any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the condition is corrected.
- m. The correction of a health and safety issue is not an allowable DOE WAP expenditure, as outlined in Requirement 307.
- n. The client refuses to have certain measures installed or removed as per DOE guidance. For example, if a client refuses to have an unvented space heater removed or refuses to have mechanical ventilation installed.
- o. The presence of illegal or the use of any controlled substance in the home during the weatherization process.

### III. FORMS

**Form 33** Deferral or Denial Form  
**Form 47** DHS Excel Quarterly Report  
**OKgrants** DOE Quarterly Report Form

### IV. RESOURCES

- Habitat for Humanity Home Preservation: <https://www.habitat.org/volunteer/near-you/home-preservation>
- HUD Home funds: [https://portal.hud.gov/hudportal/documents/huddoc?id=20653\\_ch04.pdf](https://portal.hud.gov/hudportal/documents/huddoc?id=20653_ch04.pdf)
- USDA Home Repair program: <https://www.rd.usda.gov/programs-services/single-family-housing-repair-loans-grants>
- HUD Home Rehabilitation and Repair program: [https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/sfixhs](https://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/sfixhs)

---

[1] [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl)

---

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

**V.1.3 Definition of Children**

Definition of children (below age): **12**

**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.

Low income members of Indian tribes located within Oklahoma will receive benefits under the Weatherization program equivalent to the assistance provided to other low-income persons in the State unless the applicant has made the recommendation provided in 10 CFR 440.12 (b)(5) which states: " A recommendation that a tribal organization be treated as a local applicant eligible to submit an application pursuant to § 440.13(b), if such a recommendation is to be made"

It should be noted that the number of Native American homes to be weatherized is not evenly distributed among the Subgrantees Recipients (contractors). This is because the Native American population is not evenly distributed across the state.

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

Per 10 CFR 440.14(c)(6)(ii): The Weatherization Assistance Program in Oklahoma is available through fifteen local Subgrantee Agencies that serve all 77 Oklahoma counties.

Because the FFY 2018 budget has not been passed at this time, PY 2018 are planning numbers based on PY 2016 allocations, as per WPN 18-1 grant guidance. The current budget within the State Plan contains planning numbers based on PY 2016 funding (total allocation \$2,426,960). Once our State Plan is approved, DOE will provide incremental funding based on these planning numbers. ODOC will then distribute available funds based on the same formula used in the planning budget and previous DOE Plan Years; the formula takes into account the poverty population, elderly population and the number of substandard housing within each county.

Once a Federal budget or long-term Continuing Resolution is passed, DOE will issue PY 2018 allocation amounts; ODOC will then submit a budget modification on the State Plan. Once the modification is approved, any additional subgrantee funds will be distributed based on our historic formula. Subgrantee agreements will then be modified to reflect the FY 18 budget or long-term continuing resolution.

**V.3 Priorities for Service Delivery**

Per 10 CFR 440.16(b): Priority is given to the following:

- \* Person(s) age 60 and over
- \* Disabled

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

- \* Families with children 12 years old and younger
- \* High Residential Energy User
- \* Households with High Energy Burden

**Note:** How Applicants are drawn from a waiting list:

1. Applicants are drawn from a waiting list first based on the high priority clients listed above;
2. Following the high risk client pool, eligible applicants based on income are placed in order of application date;
3. Contractors are allowed to choose the oldest application certification date in order to reach high priority clients, within the same high risk categories
4. Applications may be selected in order to coordinate weatherization services with another funding source.

#### V.4 Climatic Conditions

Oklahoma's source for climatic data is from the National Oceanic and Atmospheric Administration's National Climate Data Center, Climate Services and Monitoring Division. Oklahoma chose to use an average 20 years (from 1997 - 2017).

NOAA reported Oklahoma's 20 year average of cooling-degree days was 1,978 while the 20 year average of heating degree days was 3,501. The calculations are based on 12-month accumulations. A chart of both cooling-degree day averages and heating-degree day averages are available as an attachment. The document is titled - "Cooling and Heating Days."

As Oklahoma is located in the [South Region](#), ODOC sourced data from NOAA for the South Region to compare State averages. According to NOAA the South Region 20 year averages were 2,552 cooling-degree days, and 2,300 heating-degree days. These calculations are also based on 12-month accumulations.

The State has approved specific cooling measures which are determined as cost -effective for Oklahoma's warm-climate.

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

##### V.5.1 Technical Guides and Materials

All weatherization work in Oklahoma is performed in accordance with 10 CFR 440 Appendix A, and a DOE approved energy audit. All Subgrantees are required to follow Oklahoma's DOE approved energy audit procedures for single family unit, manufactured homes, and multi-family units, which includes the usage of the National Energy Audit Tool, and Manufactured Home Energy Audit (Version 8.9). Oklahoma's Energy Audit procedures were approved on July 30 2014. DOE approved Oklahoma's use of LEDs on June 14, 2017.

Saturn Resource Management Institute developed the current WAP field guides that align with NREL's Standard Work Specifications (SWS) utilized by our network for weatherization services. The current field guide is available at [http://wxfieldguide.com/ok/OklahomaWxFg\\_033115\\_Web.pdf](http://wxfieldguide.com/ok/OklahomaWxFg_033115_Web.pdf); it was submitted to DOE for review on February 9, 2015, and approved March 10, 2015. ODOC distributed a printed version of the field guide to all Subgrantees prior to the implementation year of SWS (PY 2015) and required each Subgrantee to sign off that the guide was received. In addition, Subgrantees were required to sign off the WAP field guide and SWS are made available to all direct hire contractors.

**For PY 2018, Oklahoma will be submitting a new drafted field guide, no later than February 15, 2018, to DOE for approval. This time, Oklahoma is working with Santa Fe Community College to develop a Field Guide using the "Deck of Cards" approach that will align with the new NREL SWS updates. Once approved by DOE, ODOC will provide the new field guide to Subgrantees in both electronic and paper format.**

Oklahoma annually updates policies and procedures when changes are made to DOE programmatic guidance. ODOC ensures that WAP policies and procedures, Subgrantee agreements and vendor contracts align with current DOE guidance and SWS.



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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

The following language is and will be included in all Subgrantee contracts to outline the expectations for quality of work in crew and contractor weatherization installations, as per WPN 15-4:

"The Contractor must meet DOE standards in regards to quality of work in all weatherization installations, as outlined in Weatherization Program Notice 15-4, Section 2. These expectations are, at a minimum, to meet or exceed the standards set forth in the National Renewal Energy Laboratory Standard Work Specifications for Home Energy Upgrades (SWS), available at <https://sws.nrel.gov/>. In addition, Contractors are required to include this language in all Agreements, MOU's or contracts entered into with weatherization vendors or subcontractors. The vendor and/or subcontractor will be required to provide a signature on the contract documents with the Subgrantee to verify the expectations for quality of work are understood."

ODOC requires Subgrantee Recipients to electronically execute their contract with ODOC, via OKGrants.gov, a Grants Management System, prior to the Execution of a WAP contract to ensure the expectations of DOE and ODOC are understood by the Subgrantee and their affiliates.

The type of weatherization work to be done in Oklahoma will include; installing insulation; reducing air infiltration through the application of caulk, door sweeps, weather-stripping and hole patching; replacing/repairing windows and doors (following DOE approved energy audit procedures), energy related health and safety measures; heating and cooling system safety checks; efficiency modifications (such as replacement of heating and cooling systems); energy efficiency retrofits; clean/repair and/or replacement of electric baseload appliances/fixtures; other incidental and necessary energy related repairs and replacements (per DOE approved energy audit procedures).

### V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

<b>Single-Family :</b>	DOE last approved Oklahoma's energy auditing procedures for site built, manufactured homes, and for small multifamily buildings on July 30, 2014. ODOC will submit for re-approval prior to the expiration date of July 30, 2019.
<b>Manufactured Housing :</b>	DOE last approved Oklahoma's energy auditing procedures for site built, manufactured homes, and for small multifamily buildings on July 30, 2014. ODOC will submit for re-approval prior to the expiration date of July 30, 2019.
<b>Multi-Family :</b>	DOE last approved Oklahoma's energy auditing procedures for site built, manufactured homes, and for small multifamily buildings on July 30, 2014. ODOC will submit for re-approval prior to the expiration date of July 30, 2019.

Comments

### V.5.3 Final Inspection

ODOC policy (Requirement 305) Assessment, Purchase and Quality Control Inspection ([http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)) states that no unit shall be reported as completed until all weatherization measures have been installed, and the Subgrantee, or contracted third party, performs a final inspection(s) (certified QCI) and certifies that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures required by 10 CFR 440.21.

All units reported to DOE are inspected by a certified Quality Control Inspector (QCI). All state monitored units are also be inspected by a certified QCI. ODOC has informed the network of the importance in knowing the CORE competencies for the weatherization positions at or above each individual's JTA. ODOC, through the Training Center contract with the Oklahoma Association of CAA's (OKACAA), provides ample Tier 1 and 2 training opportunities to assist Subgrantees in acquiring the CORE competencies. ODOC encourages the network to collaborate with neighboring agencies to provide the QCI service, if staffing is an issue, as a few smaller Subgrantees may not have the staff with the technical knowledge, or the prerequisites, to pass the QCI tests.

As outlined in Requirement 305 ([http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)), ODOC developed a quality control inspection process in accordance with WPN 15-4 that includes disciplinary actions for inadequate inspection practices, and requires Subgrantees include a description of how the inspector is related to the work in the home, and information on the monitoring requirements based on the separation of duties. If Subgrantees utilize the same weatherization worker for the audit/assessment as the final inspection, the monitoring and site visit of weatherized homes include 10% of the total units weatherized, at a minimum.

Inspection forms will be consistent for all final inspections in Oklahoma WAP, including the state QCI inspections. Form 44 will be signed by both the local and state QCI.

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

[http://okcommerce.gov/assets/files/grant/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grant/CAA_Contractor_Implementation_Manual.pdf).

**Comment on contracted labor for technical/State QCI:** For PY 2018, ODOC plans to submit an Request for Proposal. The chosen supplier will conduct Quality Assurance Inspections on 5-10% of the State's total annual production (depending on the split between the subrecipients' auditors and QCI inspectors) and collaborate with ODOC in identifying training and technical assistance needs of the network. ODOC will continue to work with OKACAA for training needs.

**V.6 Weatherization Analysis of Effectiveness**

Per 10 CFR 440.14(c)(6)(i): Oklahoma analyzes the effectiveness of the programs by comparing management plans, production schedules and through monitoring and T&TA visits. Comparisons are also made by reviewing patterns and trends in problems identified through the State Quality Assurance Inspections. T&TA needs are identified by ODOC, sub-grantees, the contracted State QCI, and the Oklahoma Weatherization and Housing Advisory Council. OKACAA is contracted through ODOC to oversee the Weatherization Training Center and receives a portion of the Grantee training and technical assistance allocation to facilitate the center.

Through the analysis of each agency in the procedures described above, ODOC, with the assistance of OKACAA, develop training and technical assistance activities that are considered a priority for the success of the WAP program in Oklahoma.

If a Subgrantee Recipient has issues in the final inspection or management findings or concerns are discovered, ODOC closely monitors the Subgrantee Recipient for a few months following the discovery of issues. Oklahoma does not have final inspection failures very often, however if it does occur the ODOC Program Representative immediately reports the oversight (in quality work or completed measure) to the agency, and generally will have them fix the issue on-site if plausible, especially if a H&S issue is found. The agency is instructed it cannot utilize DOE funds. ODOC Program Representatives and State QCI ensure all findings are resolved within 30 days; if an issue is identified as taking longer than 30 days to resolve, the Program Representative or State QCI continues to follow up until resolution occurs.

ODOC's Program Representatives collaborate with the WAP Program Manager on Subgrantee performance to ensure there is improvement in areas that may be lacking, or an increased performance in Subgrantee strengths. In order to ensure continuous improvement from the Subgrantee and Grantee ODOC works closely the Oklahoma Association of Community Action agency, where Oklahoma Weatherization Training Center is housed. This partnership has worked well to identify and address specific training and technical assistance needs throughout Oklahoma's WAP network. ODOC also encourages Subgrantees to give feedback on the monitoring process and State Plan policy development through the program year.

ODOC monitors the financial and technical systems of Subgrantees Recipients including: CAPTAIN (a data management system that Subgrantee Recipients use to track services and program outcomes), MIP Fund Accounting (a financial management software) and others, NEAT & MHEA.

ODOC convened a state wide Subgrantee Recipient meeting, along with the State QCI, during PY16 to align Subgrantee Recipient measure costs in the NEAT/MHEA library and to review for market cost justification.

**V.7 Health and Safety**

The Oklahoma Department of Commerce (ODOC) has developed a Health and Safety Policy/Plan (H&S) Requirement using the DOE recommended H&S Template for PY 2018.

**V.8 Program Management**

**V.8.1 Overview and Organization**

The Department of Commerce is organized under Governor Mary Fallin with a Secretary of Commerce and Tourism, who also acts as the

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

Executive Director of the Department of Commerce. Within the Community Development Division at ODOC, the WAP is managed by a Director of the Division, the Deputy Director, two Director of Programs (one for planning and one for monitoring), a Program Manager, and Program Representatives/Monitors. The team is also responsible as a pass through for the LIHEAP program. All subgrantee program guidance for the WAP can be online in our CAA Implementation Manual:  
[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

In addition:

- (1) Each Subgrantee is a Community Action Agency (CAA) or other public or non-profit entity. ODOC will not contract the Weatherization Assistance Program activities with entities other than a CAA or other public or nonprofit organization.
- (2) Each Subgrantee is selected on the basis of public comment received during a public hearing conducted pursuant to Section 440.14(a). Prior to preparation of the final State Plan for submission to DOE, a public hearing was conducted in Oklahoma on February 8, 2018. Members of the public were invited to provide written or oral comments on the Weatherization Assistance Program and proposed changes for PY 18, 10 days prior to the hearing.
- 3) In the selection of proposed Subgrantees, priority was given to CAAs currently operating effective programs. Evaluation of program effectiveness was based on factors such as achievement of past and current goals, quality of workmanship including record keeping, level of preparedness, and the ability of the Subgrantee to secure volunteers. Within the State of Oklahoma, all proposed Subgrantees are entities which have and are operating programs under these rules or the Economic Opportunity Act of 1964.

Noncompliance consequences:

ODOC recognizes that should a Subgrantee selected by this agency fail to comply substantially with the provisions of this part of the regulations, ODOC shall act in accordance with the Administrative Review Requirements found in Section 440.30 and 440.15 of these regulations and the ODOC General Rules of Practice and Procedures, Section 700.

Selection of new/additional Subgrantees:

ODOC ensures that any new or additional Subgrantee shall be selected at a hearing in accordance with the Administrative Procedures Act, Article II, Individual Proceedings.

**V.8.2 Administrative Expenditure Limits**

Per 10 CFR 440.18(d) not more than 10% of any grant made to to state may be used by the Grantee and Subgrantees for administrative purposes, not more than 5% may used by the state, and not less than 5% must be made available to Subgrantees by the state. Oklahoma will provide up to an additional 5% for administrative purposes to those subgrantees who receive less than \$350,000 of DOE appropriated funds.

**V.8.3 Monitoring Activities**

MONITORING

ODOC has several key components for insuring quality of work. First, all agencies are required to have 100% of all homes weatherized inspected, by a BPI Certified Quality Control Inspector. Second, ODOC also provides additional oversight and monitoring of the program both administratively and technically. The following is ODOC's approach to monitoring:

**ADMINSTRATIVE MONITORING**

Three (3) Program Representatives are assigned approximately five (5) Subgrantee Recipient s of which they are primarily responsible for administrate monitoring and the provision of technical assistance. The comprehensive monitorings encompass a Programmatic and Management Review, a Client File Review, and a Financial Review. Within the comprehensive monitoring, Oklahoma Program Representatives review financial records, client files, inventory, energy audits, health and safety, etc. The awareness of a primary contact in our office has made for a very good working relationship between the Subgrantee Recipient and the Program Representative. Many questions and concerns relating to field operations are funneled through the Program Representative because of the established rapport.

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

Program Representatives make annual visits to all Subgrantee Recipients for monitoring and oversight of Subgrantee Recipients' work. The risk assessment of each Subgrantee Recipient, performed prior to awarding Subgrantee Recipients each PY, stipulates additional visits or monitoring requirements, if the Subgrantee Recipient is identified to be a "medium" or "high" risk. Program Representatives stay in regular contact with the local agencies to provide technical assistance, as needed.

Within 30 days after each visit, the program representative prepares a written report on its findings and sends it to the Subgrantee Recipient for corrective action. The Subgrantee Recipient has 30 days to respond and provide a corrective action plan. After 60 days, if a Subgrantee Recipient fails to address a noncompliance finding, it will be reported to the DOE Project Officer. Sensitive or significant noncompliance findings will be reported to the Project Officer immediately.

**TECHNICAL MONITORING**

ODOC will contract with a BPI Certified Quality Control Inspector(s) to provide the DOE required State QCI (Quality Assurance) monitoring of each WAP unit that is selected. The State QCI conducts a Quality Assurance review (utilizing same testing and diagnostics as a local QCI); a minimum of 5% of the DOE-funded units completed are inspected (field work, H&S, and quality assurance), and a minimum of 10% if the Subgrantee Recipient auditor and QCI positions are not split, and therefore conducted by the same person.

The State QCI will be required to work closely with the WAP Program Manager and Program Representatives in all aspects of the Quality Assurance Process, and will assist ODOC in providing technical assistance to the WAP network. ODOC requires the State QCI to submit a QCI Summary (ODOC's form), and a QA monitoring report. State QCI will identify T/TA needs of each Subgrantee Recipient through the inspection process and include this information in the QCI report to the State. ODOC and State QCI will have open communication and collaboration to meet the needs of the WAP network.

In PY 2017, ODOC contracted with the Oklahoma Association of Community Action Agencies for the services of a Certified QCI. For PY 2018, ODOC is sending out a Request for Proposal to ensure that we have done our due diligence in providing the best oversight of the WAP program. ODOC will keep their DOE Project Manager informed of the RFP award.

**MONITORING ACTIVITIES**

Program Representatives and the State QCI review NEAT/MHEA settings and reports (energy audit), building weatherization reports (materials, H&S), client eligibility documentation, client files (work conducted, rentals, feedback).

- Program Representatives, in addition, review Subgrantee Recipient records (reporting, financial/administrative including financial audits, inventory). ODOC requires every Subgrantee Recipient to submit a financial audit within six months of the close of their fiscal year to ODOC's audit manager, in addition it is reviewed by ODOC Program Representatives. Our monitoring also consists of review of procurement records to ensure that materials ordered are in conformance with Appendix A standards.
- State QCI conducts a blower door test to ensure accurate levels have been reached. All units are inspected to ensure that those measures installed were installed according to the SWS, ODOC policies and procedures, RRP, and that installations followed the work described in WAP field guides, are consistent with the NEAT Output Report and the BWR/Invoices (materials).

If after inspecting a minimum 5% sampling of work completed and significant deficiencies are discovered (health and safety violations, poor quality workmanship/ installation of materials, major services missed), by the Program Representative or the State QCI, ODOC will elevate the number of homes reviewed and the frequency of visitation until the deficiencies are no longer found. The monitoring visits will return to the minimum 5% samplings of the Subgrantee Recipients in subsequent visits. The Subgrantee Recipient must accomplish the corrective actions(s) and notify the State QCI and the program representative of the completion, at which time a visit will be rescheduled or another alternative (such as photo documentation with detailed justification the work was completed). Additionally, the State QCI and/or Program Representative may suggest training activities, or provide technical assistance to help Subgrantee Recipients with consistent deficiencies. ODOC encourages all Subgrantee Recipients to attend Oklahoma Weatherization Training Center classes, Oklahoma Weatherization and Housing Advisory Council (OWHAC) meetings, and annual conferences to increase crew qualifications.

**MONITORING STAFF BUDGET**

For the three (3) Program Representatives ODOC budgeted both Grantee T/TA and administration for personnel, and benefits, in addition to approximately 25% Grantee T/TA for monitoring costs. The State QCI will be paid 100% out of the T/TA budget.

**MONITORING SCHEDULE DETAIL AND PLAN**

Below is the tentative monitoring schedule for PY 2018 weatherization Subgrantee Recipients. All of these scheduled monitorings include both administrative and fiscal monitoring.

- Big Five – September 2018

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

- CAA of OKC - August 2018
- CADC - March 2018
- CARD – July 2018
- CDSA – September 2018
- Delta – August 2018
- DFCAF - April 2018
- INCA – September 2018
- Great Plains – June 2018
- KI BOIS - April 2018
- Little Dixie - August 2018
- Northeast – June 2018
- Opportunities – June 2018
- Southwest - March 2018
- United - October 2018

Any major findings from Subgrantee Recipient monitoring visits, State QCI inspections, and financial audits will be tracked to the final resolution. The Oklahoma Department of Commerce will create a tracking record that includes the: findings, success stories, recommended corrective actions, deliverables, due dates, responsible parties, actions taken, and final resolutions.

**PROCESS FOR DISCIPLINE AND/OR REMOVAL OF SUBGRANTEE RECIPIENT FROM PROGRAM:**

The complete process can also be found in Requirement 305 of the CAA Implementation Manual here:  
[http://okcommerce.gov/assets/files/grants/CAA\\_Contractor\\_Implementation\\_Manual.pdf](http://okcommerce.gov/assets/files/grants/CAA_Contractor_Implementation_Manual.pdf)

If a QCI at the Grantee or Subgrantee Recipient level is not inspecting units using the standards adopted by the Grantee and consistent with NREL's SWS, the following disciplinary actions will take place:

- If the QCI (Grantee or Subgrantee Recipient ) does not perform inspections based on the requirements set forth in this policy, Section D, and does not use standards identified in SWS or WPN 15-4, including not utilizing a certified QCI for final inspections for any reported WAP unit, the following disciplinary actions will occur:
  - The Subgrantee Recipient will be placed on immediate probation for a period of up to 6 months or more, and required to report all units to ODOC for verification of QCI final inspection.
  - The Subgrantee Recipient will be paid on a reimbursement basis during the probationary period,
  - ODOC will widen the unit sampling of quality assurance reviews to 20-50%, depending on the size of the Subgrantee Recipient, during the probationary period to establish corrective action is achieved including verifying final inspections are conducted by a certified QCI, and all work is installed in accordance with standards in SWS.
  - Additional oversight on quality assurance reviews will ensure corrective action is achieved through quality work and measure effectiveness.
- If the QCI (Grantee or Subgrantee Recipient ) does not perform inspections based on the requirements set forth in this policy, Section D, including using standards identified in SWS, and the QCI (Grantee or Subgrantee Recipient ) reports incomplete units to DOE, and the State QCI or Program Representative notice a pattern of oversight, the following will occur
  - ODOC will widen the sampling of the of quality assurance reviews to 20-50%, depending on the size of the Subgrantee Recipient , for a probationary period of up to six months, to establish corrective action is achieved, including verifying final inspections, quality work, and measure effectiveness.
  - The certified QCI will be required to attend necessary training, Tier 1 or Tier 2 depending on the needs of the Subgrantee Recipient's QCI.
  - If during the 6 month probationary period the QCI does not successfully meet the standards set forth in C.1, ODOC will place the agency on reimbursement status for an additional 3 months or until ODOC is satisfied the Subgrantee Recipient can fulfill these requirements.
- If during the maximum probationary period, up to 9 months, ODOC is unsatisfied with the Subgrantee Recipient response to these requirements, ODOC will take further action to ensure DOE funding is utilized and expended based upon DOE rules, including, but not limited to, re-distribution of funding, and possible additional corrective actions as determined by the State.

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

**Subgrantee Recipients certification or training requirements:**

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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

Oklahoma will utilize T/TA funds to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Staff may not function unsupervised until training and certification requirements are met.

The Oklahoma Department of Commerce/Office of Community Development (ODOC/OCD) utilizes surveys, roundtable discussions, Grantee monitoring results, and meetings with the Oklahoma Weatherization and Housing Advisory Council (OWHAC) to assess the training needs for Weatherization staff and crews. Additionally, ODOC contracts a large portion of the subgrantees training and technical assistance, including New Hire Training (classes, workshops, weatherization training center) through the Oklahoma Association of Community Action Agencies (OKACAA). OKACAA tracks all training for Oklahoma WAP to maintain the credentials of subgrantees to ensure maintenance of certifications and to determine further training needs.

During PY 2018, ODOC will continue to collaborate with OKACAA to prepare and train the WAP network on the required Quality Control Inspector (QCI) Certification, Retrofit Installer, Crew Leader, and Energy Auditor, along with other required H&S trainings.

ODOC and OKACAA have (13) thirteen certified QCIs. ODOC requires that agencies upload their QCI certification(s) each grant application. OKACAA was awarded to IREC accreditation in July 2016 and will be providing Tier 1 and Tier 2 trainings for all weatherization staff in the 2018 Plan Year.

Oklahoma will utilize Quality Assurance Review data and the DOE Project Officer guidance in PY 2018 to ensure the training needs are met in Oklahoma. The 2018 training plan for Oklahoma weatherization is below. Additional trainings will be scheduled as required by ODOC and State QCI monitoring:

**March 2018 - H&S Training for PY2018 and Program Manager Training**

**Training Plan**

**Quarter 1 Apr - June**

Tier 1 Quality Control Inspector

RRP (3x)  
Building Envelope/Pressure Diagnostics (2x)

CAZ Refresher  
Insulation

**Quarter 2 July-Sept**

Tier 1 Energy Auditor

ASHRAE  
Insulation  
RRP (3x)  
Building Envelope/Pressure Diagnostics

Tier 1 Crew Leader

**Quarter 3 Oct - Dec**

Building Envelope/Pressure Diagnostics (4x)  
Insulation  
ASHRAE

CAZ Refresher

Tier 1 Energy Auditor

Tier 1 Retrofit Installer  
RRP(3x)

**Quarter 4 Jan-Mar**

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

RRP (3x)

Tier 1 Quality Control Inspector

A NEAT/MHEA Training will also be scheduled sometime during PY2018

**Comparing Subgrantee Productivity:**

Productivity will be monitored monthly and on a quarterly basis (Program Narrative and Quarterly Report).

a) In any given month evaluation of desk monitoring activities, which includes the review of expenditure reports and program narratives, ODOC may implement corrective action or require training and technical assistance of the subgrantee. Corrective action will be initiated by a subgrantee agency missing the approved Production Schedule and Management Plan.

b) If in 30 days, the agency has not accomplished the recommended plan of action ODOC will recommend a probationary period.

Probationary Period: During the probationary period (length to be determined by ODOC and dependent upon need), the agency must submit in writing to ODOC the following:

1. What the problem(s) continue to be.
2. What has been done to correct the problem
3. The number of units completed to date, and the number remaining to be completed.
4. Description of the Subgrantee Recipient's plan of action to correct the problems, including a timeline for each activity.
5. A list of Identified T/TA needs.
6. A revised management plan and/or budget (if required).

At the end of probation, if all corrective actions have been accomplished and the production schedule is being met, no further action will be required. ODOC will continue to evaluate through the desk monitoring process.

If at the end of probation, more corrective actions are needed, ODOC could decide to deobligate funding and at ODOC's discretion redistribute that money among other subgrantees. To receive redistributed funds, subgrantees must submit written justification to ODOC describing ability to complete additional units and expend funds, upon notification of availability.

**Effectiveness and Energy Savings:**

ODOC will compile the energy savings of each Subgrantee at the end of the program year to determine if energy savings, and the effectiveness of weatherization installations, was consistent throughout the network. By comparing Subgrantee total energy savings, ODOC will be able to determine if agencies are meeting their potential energy savings, per the estimated goal of the State, and determine which agencies fell short. This data will help ODOC Program Representatives in their upcoming monitoring's by pinpointing the agencies that seem to underperform in their potential energy savings annually, and identify possible oversights on the weatherization installations.

**1. NEW HIRE TRAINING REQUIREMENTS (See CAA Manual Requirement 311 after April 1, 2018)**

A. Weatherization employees of Subgrantee Recipients must attend weatherization training within 60 days, 90 days, and 12 months from their weatherization department hire start date.

**a. 60 DAYS**

- i. EPA Renovation Repair and Renovation Program
- ii. OSHA 10.2 (Crew Leaders must receive OSHA 30 instead)

**b. 90 DAYS**

- i. ASHRAE 62.2.2016

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

ii. Other Tier 2 Trainings

**c. 12 MONTHS**

i. Tier 1 Training through an IREC accredited program. Please note that OKACAA requires prerequisites to attend Tier 1 classes; contact the Center for more information.

B. Program Managers, within 6 months of being hired, must reach out to ODOC to schedule a Program Manager training. Program Managers must also attend an Intro to ROMA training (see Requirement 101). [ROMA stands for Results Oriented Management Accountability - it is a program outcome and management framework]

C. Subgrantee Recipients who contract out some or all of their weatherization work must ensure that the contractor(s) have required certifications and receive continuing education to maintain their knowledge and skills. Subgrantee Recipients that contract with another community action agency to complete their weatherization work should also ensure that their contractor has the required trainings and that they adhere to this Requirement.

**2. CONTINUING EDUCATION REQUIREMENTS (see CAA Implementation Manual Requirement 311 after April 1, 2018)**

Beginning PY 2018, every agency should have at least one person identified in each of the four primary WAP job classifications (Crew Leader, Retrofit Installer, Quality Control Inspector, and Energy Auditor). Each position has continuing education requirements that must be followed. It should be noted that Building Envelope and Insulation classes are being required now every two years based on the DOE 2016 monitoring findings, and our own QA findings.

**A. Program Managers**

a. Beginning in PY 2018, all Weatherization Program Managers must attend a program manager training. Thereafter, ODOC may require program manager training as needed.

**B. Crew Leader**

a. Every 3 years an individual must attend an IREC accredited **Tier 1 Crew Leader Training** that aligns with the Crew Leader JTAs.

b. Beginning in PY 2018, all Crew Leaders must attend a **Tier 2 Building Envelope Class**, unless one was already completed in the past 6 months. Thereafter, Building Envelope Training is required every 2 years.

**C. Retrofit Installer**

a. Every 3 years an individual must attend an IREC accredited **Tier 1 Retrofit Installer Training** that aligns with the Retrofit Installer JTAs

b. Beginning in PY 2018, all Retrofit Installers must attend a **Tier 2 Insulation Training**, unless one was already completed in the past 6 months. Thereafter, Insulation Training is required every 2 years. Completing a Tier 1 Retrofit Installer Training would count in lieu of the Insulation Training.

c. Beginning in PY 2018, all Retrofit Installers must attend a **Tier 2 Building Envelope Class**, unless one was already completed in the past 6 months. Thereafter, Building Envelope Training is required every 2 years. Completing a Tier 1 Retrofit Installer Training would count in lieu of the Building Envelope Training.

**D. Quality Control Inspector**

a. Every 3 years an individual must attend an IREC accredited **Tier 1 Quality Control Inspector Training** and pass the Quality Control Inspector exam and receive a BPI certification as a Quality Control Inspector.

b. Beginning in PY 2018, all Quality Control Inspectors must attend a **Tier 2 Insulation Training**, unless one was already completed in the past 6 months. Thereafter, Insulation Training is required every 2 years. Completing a Tier 1 Retrofit Installer Training would count in lieu of the Insulation Training.

c. Beginning in PY 2018, all Quality Control Inspectors must attend a **Tier 2 Building Envelope Class**, unless one was already



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

**(Grant Number: EE0007944, State: OK, Program Year: 2018)**

completed in the past 6 months. Thereafter, Building Envelope Training is required every 2 years. Completing a Tier 1 Quality Control Training would count in lieu of the Building Envelope Training.

**E. Energy Auditor**

a. Every 3 years an individual must attend an IREC accredited Tier 1 Energy Auditor Training that aligns with the Energy Auditor JTAs.

b. Beginning in PY 2018, all Quality Control Inspectors must attend a **Tier 2 Building Envelope Class**, unless one was already completed in the past 6 months. Thereafter, Building Envelope Training is required every 2 years. Completing a Tier 1 Quality Control Training would count in lieu of the Building Envelope Training.

**F. Certified Environmental Protection Agency Renovator (Renovation, Repair and Painting Program)**

a. All certified renovators must receive a new certification every 5 years. Please note that Oklahoma is one of the few states that operates its own EPA RRP program through the Oklahoma Department of Environmental Quality. Certification as a renovator in other states does not meet Oklahoma EPA RRP requirements.

**G. Health & Safety Training (not covered by other trainings already listed above)**

a. Beginning in PY 2018, all weatherization workers and program managers will be required to attend a comprehensive health and safety training. Thereafter, ODOC may require additional, more specific or targeted health and safety training as needed. Health and Safety training topics, not already covered in previously identified trainings, include, but are not limited to:

- i. Asbestos
- ii. Biologicals and Unsanitary Conditions
- iii. Building Structure and Roofing
- iv. Code Compliance
- v. Mold and Moisture
- vi. Hazardous Materials Disposal
- vii. Flammable Liquids and Air Pollutants
- viii. Pests
- ix. Radon

See Requirement 307 for more information about Health and Safety Training needed

**State Funds Allocated for Monitoring:**

State T/TA funds are allocated to perform monitoring activities. Travel is charged to T/TA as determined appropriate by the Division and as detailed in the budget justification. Such monitoring activities also include a large measure of onsite T/TA as subgrantees' questions are answered and problems examined. Weatherization monitoring is also charged to LIHEAP administration and State administration.

**Subgrantee Use of T/TA Funds:**

Subgrantee Recipients are allocated a certain amount of T/TA to use each Plan Year for the following activities. Agencies should retain documentation and justification for T/TA expenses within their files; conference agendas could be requested to ensure the conference and/or conference sessions were applicable to WAP.

- a. Required trainings as outlined in this Requirement
- b. Weatherization conferences in and out of state (to include registration, lodging, and per diem)
- c. OKACAA Conference sessions that provide benefit to the weatherization program (e.g. ROMA)

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

(Grant Number: EE0007944, State: OK, Program Year: 2018)

- d. Testing for BPI Certifications
- e. Providing information concerning conservation practices to occupants of eligible dwelling units (client education).
- f. Evaluation of Program outcomes (for example, ROMA training)
- g. Participation, travel, logistics of training activities and events
- h. Costs associated with training contractors that work within the weatherization program may also be charged to T&TA. However, an ODOC approved retention agreement with the contractor must be obtained in exchange for the training. The retention agreement must require that the contractor will work in the Program for at least one year or longer, although ODOC may require that additional years be added depending on the proposed training to be provided with DOE WAP funds.
- i. In the event that T&TA funds are limited, the training cost may be charged to the T&TA budget, while the employee's time for participation in the training event may be charged to labor under program operations.

**Funds effectiveness:**

Appropriate T/TA activities are completed with an evaluation of the presented materials. These evaluations are used to respond to further training, as well as, follow up and one on one assistance. ODOC also uses patterns and common findings during the State QCI monitoring visits (Quality Assurance Reviews) to determine needed T/TA.

**Training Resources:**

New hires in the weatherization program will attend all training modules coordinated by ODOC or OKACAA to ensure their skills and knowledge are at an acceptable level. Existing staff will also have all training resources available to them in order to maintain their program knowledge. Training will be provided by peer to peer training at weatherization conferences, national training, and by public and private industry and educational entities coordinated by ODOC with the assistance of OKACAA.

**Client Education:**

With the health and safety updates, ODOC will be standardizing the client education program throughout the network. Information sheets are being developed for each H&S issue and all client education is documented in the client file on Form 25. In addition, the network trains regularly on the importance of client education for not only H&S safety factors, and equipment maintenance, but also for changing behavior in households in order to reduce energy usage, and receive the full effects of the weatherization installations. Client education is required anytime an H&S issue is noted in a home, during weatherization work as appropriate, and for each QCI closing out a WAP home in Oklahoma.

**V.9 Energy Crisis and Disaster Plan**

Oklahoma will not develop an Energy Crisis Plan for PY 2018.

Per WPN 12-7 Revised Guidance on Disaster Relief planning, Oklahoma Contractors are allowed to utilize weatherization funds to assist eligible weatherization clients in various clean up efforts or repairs, as long as the repairs/clean up are tied to weatherization work performed, including previously weatherized units if the original weatherization was conducted prior to October 1, 1994. In addition, dwelling units located in a disaster area may be considered a priority if the unit is eligible, meets one of the priorities established in regulation, is free and clear of any insurance claim, or form of compensation resulting from damage incurred from the disaster.