

Title18: Human Services

Part 20: Division of Community Services

Part 20 Chapter 1: Weatherization Assistance Program

Rule 20.1 Weatherization Assistance Program (WAP) State Plan

Source: Miss Code Annotated 43-1-2.

Weatherization Assistance Program (WAP) - Final

Application for Federal Assistance SF-424

Type of Submission: Pre-application
 Application
 Changed/Corrected Application

Type of Application: New
 Continuation
 Revision

Grantee: State of Mississippi **EIN:** 64-6000807

Organizational DUNS: 809399918

Catalog of Federal Domestic Assistance Number: 81.042

Federal Award Identifier: DE-EE0007929

Address: Mississippi Department of Human Services
Division of Community Services
Post Office Box 352
USA
Jackson, Mississippi 39205
601-359-4457

Name and contact of Person to be contacted on matters involving this application:

Mr. Robert Anderson
Executive Director
Mississippi Department of Human Services
601-359-4457
robert.anderson@mdhs.ms.gov

Name of Federal Agency: U.S. Department of Energy

Congressional District of: Mississippi Congressional District 02

Proposed Project: _____ **Start Date:** 07/01/2020 **End Date:** 06/30/2021

| | | |
|---------------------------|----------------|----------------|
| Estimated Funding: | Federal | \$2,863,426.00 |
| | Applicant | \$0.00 |
| | State | \$0.00 |
| | Local | \$0.00 |
| | Other | \$0.00 |
| | Program Income | \$0.00 |
| | Total | \$2,863,426.00 |

Is Application subject to review by State Under Executive Order 12372 Process?

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

Is applicant Delinquent on any federal debt? (If yes, provide explanation) No

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

I agree

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

Authorized Representative:

Mr. Robert Anderson
Executive Director
Mississippi Department of Human Services
601-359-4457
robert.anderson@mdhs.ms.gov

Table of Contents

I. OVERVIEW

I.1 Introduction

II. APPLICATION FOR FEDERAL ASSISTANCE - STANDARD FORM 424 III.

III. BUDGET

III.1 SF 424A Budget Preparation
III.2 Budget Categories - Section B
III.3 Budget Justification
III.4 Carryover Explanation

IV. ANNUAL FILE

IV.1 Subgrantees
IV.2 Production Schedule
IV.3 Energy Savings
IV.4 DOE-Funded Leveraging Activities
IV.5 Policy Advisory Council
IV.6 Hearings and Transcripts
IV.7 Miscellaneous

V. MASTER FILE

V.1 Eligibility
V.1.1 Approach to Determining Client Eligibility
V.1.2 Approach to Determining Building Eligibility
V.1.3 Definition of Children
V.1.4 Approach with Tribal Organizations
V.2 Selection of Areas to be served
V.3 Priorities
V.4 Type of Weatherization Work to be done
V.4.1 Technical Guides and Materials
V.4.2 Energy Audit Procedures
V.4.3 Final Inspection
V.5 Weatherization Analysis of Effectiveness
V.6 Health & Safety
V.7 Program Management
V.7.1 Overview and Organization
V.7.2 Administrative Expenditure Limits
V.7.3 Monitoring Activities
V.7.4 Training & Technical Assistance
V.8 Energy Crisis & Disaster Plan

VI. FEDERAL FINANCIAL REGULATIONS

VI.1 DOE Financial Assistance Rules

VI.2 OMB Cost Principles

VI.3 Financial Audits

VI.4 Reporting Requirements

I. OVERVIEW

I.1 INTRODUCTION

This is the PY2020 Mississippi Weatherization Assistance Program (WAP) State Plan. The effective dates for PY2020 WAP are July 1, 2020 through June 30, 2021. The Mississippi Department of Human Services, Division of Community Services is the State administrative authority for the Weatherization Assistance Program. A network of **Six (6)** community action agencies delivers energy efficiency solutions for every county. Since the inception, WAP has reduced energy costs for thousands of Mississippi's households. The primary purpose of this program is energy efficiency.

II. APPLICATION FOR FEDERAL ASSISTANCE - STANDARD FORM 424

III. BUDGET

III.1 SF 424A Budget Preparation

III.2 Budget Categories - Section B

III.3 Budget Justification

III.4 Carryover Explanation

III.1

DOE F 4600.4

**U.S. Department of Energy
Federal Assistance Budget Information
OMB Burden Disclosure Statement**

OMB Control No.
1910-0400

(04-94)
Replaces EIA-459C
All Other Editions Are Obsolete

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

| | | | |
|--|--|---|--|
| 1. Program/Project Identification No. EE0007929 | | 2. Program/Project Title Weatherization Assistance for Low-Income Persons 2020 | |
| 3. Name and Address State of Mississippi Division of Community Services Post Office Box 352 750 North State Street Jackson, Mississippi 39202 | | 4. Program/Project Start Date: July 1, 2020 | |
| | | 5. Completion Date: June 30, 2021 | |

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) |
| 2020 WAP | 81.042 | | | \$2,202,874 | | \$2,202,874 |
| 2018& 2019 Carryover | | \$660,552 | | | | \$660,552 |
| 6. TOTALS | | \$660,552 | | \$2,202,874 | | \$2,863,426 |

SECTION B – BUDGET CATEGORIES

| OBJECT CLASS CATEGORIES | GRANT PROGRAM, FUNCTION OR ACTIVITY | | | | TOTAL (5) |
|--------------------------|-------------------------------------|----------------------------------|-------------------|-------------------------|------------------|
| | (1) Grantee Administration | (2) Subgrantee Administration | (3) Grantee T &TA | (4) Subgrantee T &TA | |
| a. Personnel | \$50,733.00 | | \$46,867.00 | | \$97,600.00 |
| b. Fringe Benefits | \$12,709.00 | | \$11,740.00 | | \$24,449.00 |
| c. Travel | \$32,654.00 | | \$27,151.00 | | \$59,805.00 |
| d. Equipment | | | | | |
| e. Supplies | \$8,111.00 | | \$4,000.00 | | \$12,111.00 |
| f. Contractual | \$3,861.00 | \$110,144.00 | \$94,705.00 | \$222,132.00 | \$2,663,844.00 |
| g. Construction | | | | | |
| h. Others | | | | | |
| i. Total Direct Charges | \$108,068.00 | \$110,144.00 | \$184,463.00 | \$222,132.00 | \$2,857,810.00 |
| j. Indirect Charges | \$2,075.00 | | \$3,542.00 | | \$5,617.00 |
| k. Totals | \$110,143.00 | \$110,144.00 | \$188,005.00 | \$222,132.00 | \$2,863,426.00 |
| 7. Program Income | | | | | |

III.2 DOE F 4600.4
 (04-94)
 Replaces EIA-459C
 All Other Editions Are
 Obsolete

U.S. Department of Energy
Federal Assistance Budget Information
OMB Burden Disclosure Statement

OMB Control No.
 1910-0400

| | |
|--|---|
| 1. Program/Project Identification No. EE0007929 | 2. Program/Project Title Weatherization Assistance for Low-Income Persons 2020 |
| 3. Name and Address State of Mississippi Division of Community Services Post Office Box 352 750 North State Street Jackson, Mississippi 39202 | 4. Program/Project Start Date: July 1, 2020 |
| | 5. Completion Date: June 30, 2021 |

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) |
| 2020 WAP | 81.042 | | | \$2,202,874 | | \$2,202,874 |
| 2018& 2019 Carryover | | \$660,552 | | | | \$660,552 |
| 6. TOTALS | | \$660,552 | | \$2,202,874 | | \$2,863,426 |

SECTION B – BUDGET CATEGORIES

| OBJECT CLASS CATEGORIES | GRANT PROGRAM, FUNCTION OR ACTIVITY | | | | TOTAL (5) |
|-------------------------|-------------------------------------|-----------------------------|-------------------------------|-------------------------------|--------------|
| | (1) Programs Operations | (2) Health and Safety | (3) Vehicles and Equipment | (4) Liability Insurance | |
| a. Personnel | | | | | |
| b. Fringe Benefits | | | | | |
| c. Travel | | | | | |
| d. Equipment | | | | | |
| e. Supplies | | | | | |
| f. Contractual | \$1,867,292 | \$329,522 | | \$19,446 | |
| g. Construction | | | | | |
| h. Others | | | | | |
| i. Total Direct Charges | \$1,867,292 | \$329,522 | | \$19,446 | |
| j. Indirect Charges | | | | | |
| k. Totals | \$1,867,292 | \$329,522 | | \$19,446 | |
| 7. Program Income | | | | | |

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

DOE F 4600.4
 (04-94)
 Replaces EIA-459C
 All Other Editions Are
 Obsolete

U.S. Department of Energy
Federal Assistance Budget Information
OMB Burden Disclosure Statement

OMB Control No.
 1910-0400

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

| | |
|--|---|
| 1. Program/Project Identification No. EE00007929 | 2. Program/Project Title Weatherization Assistance for Low-Income Persons 2020 |
| 3. Name and Address State of Mississippi Division of Community Services Post Office Box 352 750 North State Street Jackson, Mississippi 39202 | 4. Program/Project Start Date: July 1, 2020 |
| | 5. Completion Date: June 30, 2021 |

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) |
| 2020 WAP | 81.042 | | | \$2,202,874 | | \$2,202,874 |
| 2018& 2019 Carryover | | \$660,552 | | | | \$660,552 |
| 6. TOTALS | | \$660,552 | | \$2,202,874 | | \$2,863,426 |

SECTION B – BUDGET CATEGORIES

| OBJECT CLASS CATEGORIES | GRANT PROGRAM, FUNCTION OR ACTIVITY | | | | TOTAL (5) |
|----------------------------|-------------------------------------|---------------------------|-----|-----|------------------|
| | (1) Leveraging | (2) Financial Audit | (3) | (4) | |
| a. Personnel | | | | | |
| b. Fringe Benefits | | | | | |
| c. Travel | | | | | |
| d. Equipment | | | | | |
| e. Supplies | | | | | |
| f. Contractual | | \$16,742 | | | |
| g. Construction | | | | | |
| h. Others | | | | | |
| i. Total Direct Charges | | \$16,742 | | | |
| j. Indirect Charges | | | | | |
| k. Totals | | \$16,742 | | | |

| | | | | | |
|-------------------|--|--|--|--|--|
| 7. Program Income | | | | | |
|-------------------|--|--|--|--|--|

III.3

BUDGET EXPLANATION PAGE

2020 DOE-WEATHERIZATION ASSISTANCE PROGRAM - \$ \$ 2,863,426.00

GRANTEE ADMINISTRATION- \$110,143.00

A. PERSONNEL - \$50,732.82 = (\$50,733.00)

The title, duties, annual salary range, amount of compensation to be paid and the approximate percentage of time that each staff person will devote to the DOE Weatherization Program are listed below:

| <u>Title of Position</u> | <u>Annual Salary Range</u> | <u>% of Time</u> | <u>To Be Paid From Budget</u> |
|---------------------------------|-----------------------------------|-------------------------|--------------------------------------|
| Office Director | \$77,318.71 | 5% | \$3,865.94 |

Duties:

- Approving contracts with all subgrantees
- Approving all correspondence to subgrantees and the Federal funding source.
- Ensuring that the state application is submitted to the Federal grant/or agency timely and in compliance with the applicable Federal regulations.

*The portion of staff salaries not paid by DOE are covered by other funds (CSBG, LIHEAP).

| <u>Title of Position</u> | <u>Annual Salary Range</u> | <u>% of Time</u> | <u>To Be Paid From Budget</u> |
|---------------------------------|-----------------------------------|-------------------------|--------------------------------------|
| Branch Director II | \$42,570.78 | 50% | \$21,285.39 |

Duties:

- Soliciting, reviewing, and negotiating contracts with subgrantees.
- Processing subgrantees' close-out packages.
- Ensuring that subgrants and subgrantees comply with program regulations.
- Reviewing statistical data.
- Responding to correspondence as required.

*The portion of staff salaries not paid by DOE are covered by other funds (CSBG, LIHEAP).

| <u>Title of Position</u> | <u>Annual Salary Range</u> | <u>% of Time</u> | <u>To Be Paid From Budget</u> |
|--------------------------|----------------------------|------------------|-------------------------------|
| Staff Officer I | \$51,162.97 | 50% | \$25,581.48 |

Duties:

- Assisting in preparing the state application which includes the Budget Narrative and Budget Form SF-424A.
- Coordinate activities between the state and DOE.
- Soliciting, reviewing and negotiating contracts with subgrantees
- Providing technical assistance training to subgrantees.
- Ensure that subgrantees comply with program regulations

*The portion of staff salaries not paid by DOE are covered by other funds (CSBG, LIHEAP).

B. FRINGE BENEFITS - \$12,709.00

Fringe benefits charged to the grant will be the employer's share of Social Security, unemployment insurance, workers' compensation, retirement, and health insurance. Fringe benefits will total approximately 25.05 percent of staff salaries.

$$\$50,732.82 \times 25.05\% = \$12,708.57 = (\$12,709.00)$$

C. TRAVEL - \$32,654.00

To carry out the objectives of the Weatherization program, local travel and out-of-state travel will be required. All travel incurred will be consistent with the State's reimbursement policy and the estimated expenses are based on past trips of a similar nature and airline ticket rates.

1. In-State - \$21,498.00

It is estimated that two or more administrative related trips will be made to each subgrantee by the weatherization and fiscal staff. These trips are in privately owned automobiles from Jackson, Mississippi to subgrantees reimbursed at .575 cents per mile X 22,255.65 miles = \$12,797.00. Lodging, meals, and incidental expenses = \$8,701.00.

2. Out-of-State - \$11,156.00

It is anticipated that the Department of Energy (DOE) will conduct a meetings during this year program. A round trip from Jackson, Mississippi to destination chosen by DOE, including airfare, overnight lodging, meals, local transportation, and incidental expenses, is estimated at \$2,789.00 per person attending the meeting.

\$2,789 x 2 meeting x 2 persons = \$11,156.00

BUDGET NARRATIVE (cont'd)

The estimated expenses per trip are itemized as follows:

| | |
|---|---------|
| Registration- | \$500 |
| Airfare - | \$675 |
| Local/Taxi - | \$40 |
| Subsistence, Lodging & Incidental - | \$1,574 |

D. EQUIPMENT – \$0

E. SUPPLIES AND MATERIALS - \$8,111.00

General office supplies and materials to carry out the program based on historical cost for items of paper, pens, calculator tape, Laptop, Desk CPU and ribbons, and other necessary items for day to day operational needs. Material and supplies include: paper, printing, pens, mockups, and any consumable materials for classroom or hands on training for the WX program.

F. CONTRACTUAL SERVICES - \$2,569,139.00

1. Other Than Subgrantee Awards - \$3,861.00

General operating expenses to carry out the program will be required. These expenses will include telephone, postage, office rent, and equipment rent and repair, and are estimated as follows:

Telephone @ \$2,087

Postage @ \$825

Office Rent @ \$3,956 per month X 12 mos. = \$47,472 X 2% = \$949.44 (\$949)

2. Subgrant Awards- \$2,565,278.00

These subgrantee funds will be subcontracted to six (6) Community Action Agencies and/or Human Resource Agencies (reference State Application and State Plan Data Sheet).

| | |
|---------------------------|--------------|
| Subgrantee Administration | \$ 110,144 |
| Program Operations | \$ 1,867,292 |
| Health and Safety | \$ 329,522 |
| Financial Audits | \$ 16,742 |
| Liability Insurance | \$ 19,446 |
| | |
| Subgrantee T&TA Awards | \$ 222,132 |

1. **In-State- \$64,743.00** (PAGE-\$2,023.22 x 32 trips= \$64,743.04)

It is estimated that at least two T&TA trips will be made by subgrantee staff to designated training sites. Subgrantees will be reimbursed at .575 cents per mile.

Estimated 53,803.48 miles x .575 cents = \$30,937.00

Lodging, meals, incidentals estimated at \$33,806.00

2. **Out-of-State - \$95,004.00**

It is anticipated that a meeting/training for subgrantees scheduled by the Department of Energy during Program Year 2020-2021 to update state on changes and on-going issues. Estimated travel expenses for DOE training or conferences are as follows:

\$2,639.00 x 2 meetings x 18 persons = \$95,004.00

The estimated expenses are itemized as follows:

Registration -\$500

Airfare-\$525

Local/Taxi -\$ 40

Subsistence, Lodging & Incidental -\$1,574

3 **Weatherization Equipment - \$62,385.00**

DCS is requesting to use some of the T&TA funds in the amount of \$62,385.00 for Subgrantees to purchase new weatherization equipment to replace old equipment that is not working or not working properly.

NOTE: Only 5 percent will be set aside for Subgrantee administration based on limited funding available.

- G. **INDIRECT COST** - Replaced with a cost allocation plan (previously submitted). MDHS has a cost allocation plan approved through DHHS; whereas, each division within the department is charged for administrative services. DOE's administrative costs are allocated through the cost allocation process at rate of 1.92%. The estimated amount for Program Year 2020 is \$2,074.92 = **(\$2,075.00)**.

BUDGET EXPLANATION

GRANTEE TRAINING AND TECHNICAL ASSISTANCE - \$188,005.00

A. PERSONNEL - \$46,866.88 = (\$46,867.00)

The title, annual salary range, amount of compensation to be paid and the approximate percentage of time that each staff person will devote to the DOE Weatherization Training and Technical Assistance Program are listed below:

| <u>Title of Position</u> | <u>Annual Salary Range</u> | <u>%of Time</u> | <u>To Be Paid From Budget</u> |
|---------------------------|----------------------------|-----------------|-------------------------------|
| Branch Director II | \$42,570.78 | 50% | \$21,285.39 |

- Duties:
- Reviewing monthly status reports.
 - Soliciting, reviewing, and negotiating contracts with subgrantees.
 - Ensuring that subgrants and subgrantees comply with program regulations.
 - Reviewing statistical data.
 - Responding to correspondence as required.

*The portion of staff salaries not paid by DOE are covered by other funds (CSBG, LIHEAP).

| <u>Title of Position</u> | <u>Annual Salary Range</u> | <u>% of Time</u> | <u>To Be Paid From Budget</u> |
|--------------------------|----------------------------|------------------|-------------------------------|
| Staff Officer I | \$51,162.97 | 50% | \$25,581.48 |

- Duties:
- Assisting in preparing the state application
 - Coordinate activities between the state and DOE
 - Soliciting, reviewing and negotiating contracts with subgrantees
 - Providing technical assistance training to subgrantees.
 - Ensure that subgrantees comply with program regulations

*The portion of staff salaries not paid by DOE are covered by other funds (CSBG, LIHEAP).

B. FRINGE BENEFITS - \$11,740.00

Fringe benefits charged to the grant will be the employer's share of Social Security, unemployment insurance, workers' compensation, retirement, and health insurance. Fringe benefits will total approximately 25.05 percent of staff salaries.

$\$46,866.88 \times 25.05\% = \$11,704.15 = (\$11,740.00)$

BUDGET NARRATIVE (cont'd)

C. TRAVEL - \$27,151.00

All travel incurred will be consistent with the State's reimbursement policy and the estimated expenses are based on past trips of a similar nature and airline ticket rates.

The following breakdown is based on past expenditures incurred in operating the program.

1. In-State - \$15,995.00

It is estimated that at least one training or technical assistance and monitoring trip will be made to each subgrantee by the weatherization staff. These trips are in privately owned automobiles from Jackson, Mississippi to various subgrantees and reimbursed at .575 cents per mile.

15,991.30 miles X \$.575 x 1 trips = \$9,195.00

Lodging, meals, and incidental expenses estimated = \$6,800.00

2. Out-of-State - \$11,156.00

It is anticipated that a meeting/training for State WX staff and subgrantees scheduled by the Department of Energy during Program Year 2020 to update states on changes and on-going issues. Estimated travel expenses for DOE training or conference are as follows:

\$2,789 X 2 meetings X 2 persons = \$11,156.00

The estimated expenses are itemized as follows:

Registration - \$500
Airfare - \$675
Local/Taxi - \$ 40
Subsistence, Lodging & Incidental - \$1,574

D. EQUIPMENT - 0

E. TRAINING SUPPLIES AND MATERIALS - \$4,000.00

Training supplies and printing for the weatherization staff will be necessary in order to develop training materials for subgrantees. Based on prior expenditures, it is estimated that \$4,000.00 will be needed.

F. CONTRACTUAL SERVICES - \$94,705.00

Telephone and postage expenses are necessary to provide continuous monitoring, raining, and technical assistance to subgrantees; also, other general operating expenses will be required. The expenses are estimated as follows:

Telephone @ \$1,500
Advertisement, Dues & Postage @ \$2,500

MDHS generally contracts with hotels, consultants or other training facilities to provide training rooms and other services for our seminars. It is estimated that \$77,705.00 will be needed to cover these expenses for accommodations of all subgrantee staff in attendance.

Both programmatic and fiscal monitoring will be conducted by the Office of Monitoring, a division within the Mississippi Department of Human Services. The Division of Community Services will be paying the Office of Monitoring an estimated amount of \$13,000 for performing the required monitoring services.

G. INDIRECT COST -Mississippi Department of Human Services has a U.S. Department of Health and Human Services approved cost allocation plan; whereas, each division within this department is charged for administrative services that are provided. DOE's administrative costs are allocated through the cost allocation process at a rate of 1.92% (plan previously submitted). The estimated amount for the weatherization T&TA activity is \$3,541.69 = (\$3,542.00).

IV. ANNUAL FILE

IV.1 Subgrantees

Name: Lift, Inc. Contact: Dorothy Leasy, Executive Director
 Address: P.O. Box 2399 Phone: (662)842-9511
 2577 McCullough Blvd. Fax: (662)842-5575
 Tupelo, MS 38803 Email: dleasev@liftcaa.org

| Allocation | | Counties Served: | | Congressional Districts |
|-----------------------|----------------|------------------|----------|-------------------------|
| Tentative allocation: | \$234,589 | Calhoun | Monroe | 1 |
| Planned units: | 21 | Chickasaw | Pontotoc | |
| Type of organization: | CAA | Itawamba | Union | |
| Labor source: | Subcontractors | Lafayette | Lee | |

Name: Multi-County CSA Contact: Ron Collier, Executive Director
 Address: P.O. Box 905 Phone: (601)483-4838
 2906 St. Paul Street Fax: (601)482-9861
 Meridian, MS 39302 Email: rcollier@multicountyca.org

| Allocation | | Counties Served: | | Congressional Districts |
|-----------------------|----------------|------------------|---------|-------------------------|
| Tentative allocation: | \$536,784 | Clarke | Neshoba | 2 |
| Planned units: | 52 | Jasper | Newton | 3 |
| Type of organization: | CAA | Kemper | Scott | 4 |
| Labor source: | Subcontractors | Lauderdale | Smith | |
| | | Leake | Wayne | |
| | | Perry | Greene | |
| | | George | Hancock | |
| | | Harrison | Jackson | |
| | | Pearl River | Stone | |

Name: Northeast CS Contact: Steve Gaines, Executive Director
 Address: P.O. Box 930 Phone: (662)728-2118
 801 Hatchie Street Fax: (662)728-8720
 Booneville, MS 38829 Email: sgaines@ms.metrocast.net

| Allocation | | Counties Served: | | Congressional Districts |
|-----------------------|----------------|------------------|--------|-------------------------|
| Tentative allocation: | \$224,661 | Alcorn | Benton | 1 |
| Planned units: | 20 | Marshall | Tippah | |
| Type of organization: | CAA | Prentiss | Desoto | |
| Labor source: | Subcontractors | Tishomingo | Tate | |

Name: Prairie Opportunity, Inc.
 Address: 501Hwy. 12 West
 Suite 110
 Starkville, MS 39759

Contact: Laura Marshall, Executive Director
 Phone: (662)323-3397
 Fax: (662)323-8754
 Email: prairieopportunity@yahoo.com

| Allocation | | Counties Served: | | Congressional Districts |
|------------------------------|----------------|------------------|------------|-------------------------|
| Tentative allocation: | \$370,461 | Choctaw | Webster | 1 |
| Planned units: | 34 | Clay | Winston | 2 |
| Type of organization: | CAA | Attala | Carroll | 3 |
| Labor source: | Subcontractors | Lowndes | Grenada | |
| | | Noxubee | Holmes | |
| | | Oktibbeha | Leflore | |
| | | Yalobusha | Montgomery | |

Name: South Central CAA
 Address: P.O. Box 6590
 3891 I-55 S. Frontage Rd.
 Jackson, MS 39212

Contact: Sheletta Buckley, Executive Director
 Phone: (769)235-8224
 Fax: (769)251-1017
 Email: sbuckley@yoursccaa.com

| Allocation | | Counties Served: | | Congressional Districts |
|------------------------------|----------------|------------------|-----------|-------------------------|
| Tentative allocation: | \$795,081 | Adams | Amite | 2 |
| Planned units: | 79 | Claiborne | Copiah | 3 |
| Type of organization: | CAA | Covington | Forrest | 4 |
| Labor source: | Subcontractors | Franklin | Hinds | |
| | | Jefferson Davis | Jefferson | |
| | | Jones | Lamar | |
| | | Lawrence | Lincoln | |
| | | Madison | Marion | |
| | | Pike | Rankin | |
| | | Simpson | Walthall | |
| | | Wilkinson | | |

Name: WWISCAA, Inc.
 Address: P.O. Box 1813
 1165 S. Raceway Road
 Greenville, MS 38702

Contact: Jannis Williams, Executive Director
 Phone: (662)378-5857
 Fax: (662)224-8142
 Email: bjsaulter@wwiscaa.org

| Allocation | | Counties Served: | | Congressional Districts |
|------------------------------|----------------|------------------|------------|-------------------------|
| Tentative allocation: | \$403,702.00 | Bolivar | Coahoma | 2 |
| Planned units: | 38 | Humphreys | Issaquena | |
| Type of organization: | CAA | Panola | Quitman | |
| Labor source: | Subcontractors | Sharkey | Sunflower | |
| | | Tallahatchie | Tunica | |
| | | Warren | Washington | |
| | | Yazoo | | |

IV.2 PRODUCTION SCHEDULE

| | Annual Total |
|---------------------------|---------------------|
| Weatherized Units (total) | 244 |
| Reweatherized Units | 0 |

Vehicles and Equipment \$5,000 or more Average cost per Dwelling Unit (DOE Rules)

| | | |
|----|--|-------------------|
| A. | Total of vehicles and Equipment Budget | 0 |
| B. | Total units to be Weatherized from Production Schedule above..... | 244 |
| C. | Units to be Reweatherized, from Production Schedule above..... | 0 |
| D. | Total Units to be Weatherized, plus Planned Reweatherized Units From Production Schedule above (B and C) | 244 |
| E. | Average Vehicles and Equipment Cost per Dwelling Unit (A divided by D) | 0 |
| | Average Cost per Dwelling Unit (DOE Rules) | |
| F. | Total of Funds for Program Operations..... | 1,867,292 |
| G. | Total Units to be Weatherized, plus Planned Reweatherized units from Production Schedule above (total from D above) | 244 |
| H. | Average Cost per Dwelling Unit, less Vehicles and Equipment (F Divided by G) | \$7,652.84 |
| I. | Average Cost per Dwelling Unit for Vehicles and Equipment (total From E) | 0 |
| J. | Total Average Cost per Dwelling Unit (H plus I) | \$7,652.84 |

IV.3 ENERGY SAVINGS

METHOD USED TO CALCULATE ENERGY SAVINGS: WAP ALGORITHM: OTHER
(Describe below)

Estimated energy savings (Mbtus):

Other Energy Savings Method Description

N/A

IV.4 DOE-FUNDED LEVERAGING ACTIVITIES

The State of Mississippi will not be using a percentage of the grant to undertake leveraging activities.

Leveraging activities will be an integral component of the Mississippi Weatherization Program. Local funds and in-kind contributions will be solicited from individuals and philanthropic organizations in efforts to supplement DOE funds. The benefits of engaging in leveraging activities are:

1. To secure additional resources,
2. To maintain current the service level for the target population, and/or
3. To serve more Weatherization clients.

Local Weatherization subgrantees are required to engage in leveraging activities as it is becoming increasingly difficult to defend programs for re-authorization and appropriation before the Congress. Secondly, the demand for Weatherization assistance has continued to increase at a geometrical progression as the elderly population increases. Therefore, Subgrantees are encouraged to solicit additional weatherization resources such as cash donations and in-kind contributions. The in-kind contributions include, but are not limited to:

volunteers, vented space heaters, insulation materials, siding materials, bricks, plywood, storm doors and windows, paint, nails, ceiling tile, doors and thresholds, smart thermostats, water treated wood, carpet, glue and foam spray insulation, electric bulbs, cement, glass windows, wasp spray and discounts.

Weatherization subgrantees are required to submit leveraging reports which include the name of the item, cash amount received, the estimate of fair market value for donated materials, name of labor contributors and the estimated number of households that benefited as a result of the leveraging activity.

The Mississippi Weatherization Assistance Program (MSWAP) is aware that reporting may be difficult where multiple sources of funds as a result of leveraging are used to weatherize a unit, or a complicated leveraging agreement has been reached with non-Federal partners. To assist Subgrantees in determining what a DOE weatherized unit is, MSWAP will utilized DOE definition as follows:

A DOE Weatherized unit is- A dwelling on which a DOE-approved energy audit or priority list has been applied and weatherization work has been completed. As funds allow, the measures installed on this unit and paid for with DOE funds have a Savings-to-Investment Ratio (SIR) of 1.0 or greater, but also may include any necessary energy-related health and safety measures.

MSWAP understands that the use of DOE funds on this unit may include, but are not limited to auditing, testing, measure installation, inspection, use of DOE equipment and/or vehicles, or if DOE provides the training and/or administrative funds. Therefore, a dwelling unit that meets both the definition of a DOE weatherized unit and has **DOE funds used directly on it must be counted as a DOE completed unit.**

IV.5 ENERGY ADVISORY COUNCIL

Prior to the expenditure of any grant funds, the State Policy Advisory Council shall be established by a State or by the Operations Office Manager as specified in 440.17 a (1), (2), & (3).

The State Policy Advisory Council has been established in accordance with 440.17 a. The members of this council have been chosen because of special qualifications with respect to solving problems of low-income persons, including the weatherization and energy conservation problems of these persons. The members of this council represent a broad cross-section of organizations and agencies that deal with problems of the poor, particularly the elderly and disabled persons and low-income Native Americans. The State Policy Council last meeting was convened on Tuesday, April 11, 2019.

Energy Advisory Committee Members:

| | |
|-------------------|--------------------|
| Marlon Morris | Nicole Claiborne |
| Jean Marie Hill | Tasha Lee |
| Lawerence Johnson | Terrance Spears |
| Robert Lesley | Dr. Johnny Gilbert |

IV.6 State Plan Hearing and Transcript

| | |
|-------------------------------|---|
| Hearing Dates: April 14, 2020 | Newspapers that publicized the hearings and the dates that the notice ran. |
| | The Clarion-Ledger (March 17th & 31th, 2020) |
| | |

The State of Mississippi has prepared the FY 2020 Weatherization Assistance Program State Plan in accordance with Section 440.14 of 10 CFR Part 440. A public hearing was advertised in twelve (12) newspapers throughout the State and the hearing will be held on **April 14, 2020**. The state application and Weatherization Program Production Schedule reflects the proposed weatherization activities, proposed subgrantees, and the allocations for each subgrantee, and the planned number of homes to be weatherized. Copies of the proposed State Plan will be made available to the general public.

IV.7 Miscellaneous

2019 American Customer Satisfaction Index (ACSI) Survey Action Plan:

Overall, MSWAP maintained some levels of consistency. According to the survey, there were several potential growth areas discovered. To address these potential growth areas, MSWAP will:

- Continue having Quarterly WX Network meetings.
- Provide WX Network with all required program notices.
- Recommend WX Network participation in the development of state plan.
- Provide timely responses on monitoring and corrective actions.
- Require WX Network to provide feedback concerning T&TA.

Implementing the above potential growth areas should improve development of the state plan, technical assistance, monitoring and corrective actions, and communications.

List below are the contact information on the Business Officer and Principal Investigator:

Recipient Business Officer

Mr. Robert Anderson
Executive Director
Mississippi Dept. of Human Services
P.O. Box 352
200 South Lamar Street
Jackson, Mississippi 39201
(601) 359-4457

Recipient Principal Investigator

Tina M. Ruffin, Director
Division of Community Services
Mississippi Dept. of Human Services
P.O. Box 352
200 South Lamar Street
Jackson, Mississippi 39201
(601) 359-4768

V. MASTER FILE

V.1 Eligibility- The State of Mississippi Weatherization Assistance Program (MSWAP) requires that every dwelling weatherized must meet the eligibility requirements.

V.1.1 Approach to Determining Client Eligibility

Per regulation 10 CFR 440.22(a) and stated per 10 CFR 440.14(c) (6) (xii), the definition of "low income" for determining client eligibility for MSWAP has been established at or below 200% of the current federal poverty guideline.

In accordance with 440.16 (a), MSWAP requires each applicant household requesting WAP assistance complete an application intake process to determine client eligibility. The process consists of documenting household demographics, income verification, needs assessment, identity verification and other documentations as required.

INCOME VERIFICATION Per 10 CFR 440.22

MSWAP will ensure that a dwelling unit is eligible for assistance and is occupied by a family unit, whose income is at or below 200% of the federal poverty guidelines and are in effect at the time of submission of the application. Applicants applying for weatherization that are on the waiting list or for other reasons must have their eligibility documentation updated at least annually. Application Eligibility expires 12 months from certification date if work on dwelling unit (energy audit) has not been initiated.

Priority is given to the elderly, disabled and families with children. Live-in attendant's income can be excluded if it is determined that (1) the live-in is essential to the care and well-being of the person; and (2) would not be living in the unit except to provide the necessary supportive services. All household members' status will be documented and maintained in Virtual ROMA and individual client files for future references.

The following documents are acceptable when determining eligibility:

INCOME(S)

Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s). Gross Income is to be used, not Net Income. Cash Receipts include the following:

1. Money, wages and salaries before any deductions;
2. Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
3. Regular payments from social security, railroad

- retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments;
4. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
 5. Dividends and/or interest;
 6. Net rental income and net royalties;
 7. Periodic receipts from estates or trusts; and
 8. Net gambling or lottery winnings.

The following Cash Receipts **are not** considered sources of Income for the purposes of determining applicant eligibility:

1. Capital gains;
2. Any assets drawn down as withdrawals from a bank;
3. Money received from the sale of a property, house, or car;
4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
5. Tax refunds;
6. Gifts, loans, or lump-sum inheritances;
7. College scholarships;
8. One-time insurance payments, or compensation for injury;
9. Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;
10. Employee fringe benefits, food or housing received in lieu of wages;
11. The value of food and fuel produced and consumed on farms;
12. The imputed value of rent from owner-occupied non-farm or farm housing;
13. Depreciation for farm or business assets;
14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
15. Combat zone pay to the military;
16. Child support
17. Reverse mortgages; and
18. Payments for care of Foster Children;

****Other documents may be necessary as required by Agency****

VALID PHOTO ID(S)

1. Photo Driver's license, US Passport
2. State-issued photo ID
3. Employment ID
4. School, college or university ID
5. US Military ID
6. Tribal ID, Alien registration/Permanent residence card, temporary residence card

SOCIAL SECURITY CARD(S)

1. Certified Copies
2. Card for all household members regardless of age

IMMIGRATION STATUS

If the Head of Household is an undocumented Individual, the application should be denied for the entire household.

If an individual within a household is an undocumented Individual, does not disclose citizenship or establish satisfactory immigration status, ineligibility exists only for the individual member and not the entire household. The remaining household members should have eligibility determined. During the application process, any individuals within the household who do not wish to comply with citizenship and documented status requirements are considered "Non-Applicants" and should not be questioned about citizenship/documented status. However, these individuals must disclose and verify income and other information needed to establish the eligibility of the household. Eligibility cannot be determined when a Non-Applicant fails to disclose income, therefore, the application should be denied for the entire household. If adequate documentation of immigration status is subsequently provided for the Non-Applicant, the worker shall act upon the reported change in accordance with appropriate timeliness standards.

Most undocumented Individual who have entered the United States legally have in their possession documents that were issued by the United States Citizenship and Immigration Services (USCIS) which contains the person's immigration status and the date that person entered the country, or adjusted to the status shown on the card. It is the responsibility of the applicant to provide the USCIS documents prior to eligibility determination. If the applicant does not provide documents establishing documented status on a timely basis or if documented status is questionable, the eligibility of the remaining household members shall be determined.

The most common documents used to verify alien status include, but are not limited to:

- Form 1-551- Resident Alien Card and Conditional Resident Alien Card
- Form 1-151- Alien Registration Receipt Card
- Form 1-94- Arrival-Departure Record (Annotated with Section 207 or refugee, asylum, or paroled)

- Form 1-688- Temporary Resident Card
- Unexpired foreign passport when it contains an endorsement "Processed for 1-551. Temporary Evidence of Lawful Admission for Permanent Residence"

When a household or person indicates inability or unwillingness to provide documentation of alien status for any household member, that (non-applicant) member should be classified as "Ineligible", not illegal. Workers are cautioned that a determination that a person is Ineligible is not equivalent to a determination that a person is an illegal alien.

A person will be reported to the appropriate USCIS office under the following circumstances:

1. The applicant, another household member or the authorized representative admits that undocumented Individual (s) are present in the household;
2. USCIS documents presented by the household during the application process are determined to be forged;
3. A formal order of deportation or removal is presented by the household during the application process.

V.1.2 Approach to Determining Building Eligibility

In accordance with WPN 16-5, In order to meet the purpose of Weatherization Assistance Program, MSWAP, will ensure weatherization services are being provided to low-income persons that live in *all* types of housing (i.e. single-family, manufactured housing units, and multifamily buildings).

MSWAP and Subgrantees shall ensure that weatherization take place with a whole dwelling as a system approach (10 CFR 440.22(b)). A single unit within a multi- unit dwelling is not categorically excluded, but due to the rare instances when this is allowable, MSWAP shall seek prior approval from the Project Officer (PO).

MSWAP requires that dwelling eligibility is established before any weatherization commence. Dwelling eligibility is confirmed prior to the start of an energy audit. Proof of ownership must be established regardless of who is living in the dwelling (required for both owner-occupied, and rental units). *Lifetime estates are to be treated as owner occupied dwellings. The following documents are acceptable as proof of ownership and eligibility:*

RESIDENCE VERIFICATION

1. Lease Agreement
2. Copy of Deed;
3. Statement from the Office of the Tax Assessor or Chancery Clerk.

4. Copy of Mortgage or Mortgage Payment Book;
5. Property Tax Receipts (must show address of property to be weatherized)

Re-Weatherization: MSWAP shall adhere to the following:

Any dwelling weatherized after September 30, 1994, or any subsequent date as Any dwelling weatherized after September 30, 1994, or any subsequent date as established in 10 CFR 440 subpart §440.18(e)(2)(iii) as amended, is not eligible for weatherization. Homes previously weatherized from September 30, 1994 and earlier may be weatherized per 10 CFR 6865 (c) (2). This provision provides flexibility to revisit homes weatherized prior to 1994 that may not have received the full complement of Weatherization services including the use of an advance energy audit or addressing health and safety concerns.

All homes previously weatherized will be documented via Virtual ROMA and Excel Reporting Spread sheets:

- Subgrantee must ensure that homes seeking re-weatherization must meet the criteria stated above.
- **Subgrantees must ensure that any re-weatherization project will receive a current energy audit prior to re-weatherization.**
- Subgrantees must reference applicant's names, social security number, and address utilizing Virtual ROMA and excel reporting spread sheets.
- Subgrantee must perform a QCI final inspection and provide the case worker and partnering agency with the final status, which must be documented in the client Virtual ROMA file reflecting that the dwelling (s) were weatherized.
- If upon pre-inspection of a dwelling it is determined that the home was previously weatherized, subgrantee must document the address of dwelling referencing Virtual ROMA and the Excel data spread sheet.
- WX subgrantee must complete and submit to DCS the WX monthly reports, which includes the client list (names, address, phone etc.) via excel spread sheet. This is checked monthly by the state weatherization staff for compliance.

Disaster Planning and Relief (WPN 12-7):

MSWAP understands that weatherization has a very limited role in any disaster response plan. Therefore, the State ensures that WPN12-7 will be adhered to when addressing disasters.

Eligible Structures:

MSWAP will address the following structures:

- Single-Family - owned or rental
- Manufactured housing -own or rental

- Multi-family housing – own or rental
- *Non-traditional dwelling units such as shelters apartments over business etc. MSWAP will consult with the Project Officer to ensure that program regulations are met, and whether the unit is, in fact, eligible.*

All structures must be stationary and have a specific mailing (street) address. ***The Weatherization of non-stationary campers and trailers that do not have mailing address associated with the eligible applicants is not allowed. The use of a post office box for a non-stationary camper(s) or trailer(s) does not meet this requirement.***

Historic Preservation

MSWAP has submitted a programmatic agreement to the State Historic Preservation (SHPO) for review. Upon signature, DCS will forward the agreement to subgrantees.

Multi-Family Dwellings Per WPN 16-5: In order to meet the purpose of the WAP, MSWAP will ensure weatherization services are being provided to low-income persons that live in all types of housing (i.e. single family, manufactured housing units, and multi-family buildings). It is noted that in qualifying a multi-family building for weatherization, MSWAP understands that 10 CFR 440.22(b)(2) requires that a building containing rental dwelling units is eligible for WAP funds where “Not less than 66 percent (50 percent for duplexes and four unit buildings, and certain eligible types of large multifamily buildings) of the dwelling units in the building:

- (i) Are eligible dwelling units, or
- (ii) 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

MSWAP understands that “certain eligible types of large multifamily buildings” are those buildings for which an investment of DOE funds would result in a significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell. MSWAP falls below the 20% threshold and do not have a DOE-approved audit and procedures for multifamily buildings, therefore, the following actions will be taken:

MSWAP will follow Weatherization Program Notice 16-5 when addressing requirements for determining eligibility of certain multi-family buildings and will seek guidance from the Project Officer when addressing the above stated criteria.

Rental Procedures (WPN16-6)

The MSWAP will utilize a rental agreement which follows and addresses the requirements of 440.22(c). The restriction regarding the time when an owner can increase the cost of the unit is two (2) years.

Before the weatherization of any dwelling is allowable, proof of ownership must be established regardless of who is living in the dwelling (required for both owner-occupied and rental units). Lifetime estates are to be treated as owner occupied dwellings. The following documents are acceptable as proof of ownership:

- 1) Copy of Deed;
- 2) Copy of Mortgage or Mortgage Payment Book;
- 3) Property Tax Receipts (must show address of property to be weatherized); or
- 4) Statement from the Office of the Tax Assessor, Chancery Clerk, or Record of Deeds.
- 5) Lease Agreement

If a dwelling is to be weatherized for a client who is not the owner of the dwelling, an agreement must be entered into between the landlord and the subgrantee agency. The agreement must be signed before work can begin on the weatherization project. **Landlord participation is encouraged but not mandatory.** Participation maybe provided through donated materials, monetary assistance or a combination of the two. A condition of the agreement includes the agreement not to raise the tenant's rent for two (2) years (some exceptions apply) beginning on the date of the weatherization projection completion (that is the approved post inspection date). Additionally, the owner cannot evict the tenant without cause during that period. Should the owner chose to violate the agreement, he or she may be billed for the pro-rated share of cost of the weatherization project.

The allowable exceptions to the prohibition of the two (2) year rent increase include increases due to higher property taxes, insurance premiums, necessary replacement (or extensive repairs) to appliances, plumbing, or wiring. These allowable costs must be spread over the period of one (1) year.

The owner agrees that the dwelling is not presently being offered for sale and agrees to give the subgrantee agency thirty (30) days' notice of the sale should the property be offered for sale prior to the expiration of the rental agreement. At least ten (10) days prior to the sale, the owner agrees to obtain a notarized statement of the purchaser's consent to assume the rental agreement obligation. If this consent is not obtained, the owner agrees to pay the full cost of the weatherization project based on the pro-rated number of months remaining in the rental agreement. Should the property be transferred via a will or heir ship, the same obligations would be placed on the new owners.

Additionally, the owner agrees that the terms and obligations of the rental agreement shall supersede any inconsistent provision of any oral or written lease or other agreement affecting the rent collected for the eligible dwelling unit.

DEFERRAL STANDARDS

MSWAP understands that the decision to walk-away from a dwelling without providing weatherization services is difficult but necessary in some cases. Many problems

encountered in low-income housing are beyond the scope of the Weatherization Assistance Program. Deferrals does not mean that assistance will never be available, but that any work deemed beyond the scope of WAP must be postponed until the problems can be resolved and alternative sources of help be found as necessary. Subgrantees Coordinator(s) must follow the deferral guidelines included in the Health and Safety Plan. Subgrantees must complete and have on file, the Walk Away/Deferral form when determining deferrals. (*See Attachments*)

V.1.3 Definition of Children

In accordance with 10 CFR 440.3 and required by 10CFR 440.14 (c) (6) (xiii), MSWAP defines children as household members that are under the age of nineteen (19) years old who have not been emancipated from minor status through marriage or assumed the responsibility of an adult as provided by law, and is a member of the household at the time of application.

This procedure is consistent with the eligibility requirements for the Low-Income Home Energy Assistance Program and is applied on a statewide basis.

All household members' status will be documented and maintained in Virtual Roma and individual client files for future references.

V.1.4 Approach with Tribal Organizations

The low-income members of tribal organizations shall be entitled to apply and receive weatherization assistance, as provided to other low-income persons in the State, through the normal channels of the State of Mississippi Weatherization Assistance Program (MSWAP) in accordance with 10 CFR440.16 (f).

V.2 Selection of Areas to be Served

In accordance with 10 CFR 440.14 (c) (6) (ii), preference is given to Community Action Agencies and other public or private nonprofit entities. MSWAP will enter in agreement with six (6) subgrantees state-wide for PY2020, which allows all 82 counties to be served in a timely and effective manner. In the event that an agency cannot fulfill the terms of the contract the state will award the funding of that agency to another performing agency to carry out the terms.

Every weatherization subgrantee will be a community action agency or other public or private nonprofit entity with a track record of implementing similar low-income programs and will be in accordance with 10 CFR 440.14 (a). The subgrantees experience and performance in weatherization or housing rehabilitation activities and experience in providing assistance to low-income persons in the service area in accordance with 440.15 (a) (2) (I) (ii) (iii) and ability to implement a timely and effective weatherization program, through timely submission of Monthly Progress Reports, as well as planned versus actual homes weatherized are also factors which will be

considered. Preference is also given to entities that achieve weatherization goals, Perform work according to the Standard Work Specifications (SWS) and that have sufficient staff capabilities in accordance with 440.15(a)(3)(I)(ii)(iii)(iv).

Should it become necessary to terminate, downsize or select subgrantees, it will be discussed at a hearing in accordance with 440.14 (a) and upon the basis of the criteria provided in 440.15(a).

V.3 Priorities

Priority is given to elderly, disabled, families with children, high-energy users and high-energy burden as describe in 10CFR 440.3.

In accordance with 10 CFR 440.16 (b), the State of Mississippi requires that the Weatherization Assistance Selection Tool (Form WX-7) be completed on all eligible applicant prior to the selection for assistance. This form allows subgrantees to rank potentially eligible applicant, taking into consideration the following:

- Age
- Occupants
- Disabled Members
- Waiting Period
- High Energy Burden (10 CFR 440.3) - *low-income household whose residential energy burden (residential expenditures divided by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State. This selection process will allow clients that apply to be placed on the service list according to the selection tool ranking. (See Attachment for Selection Tool)*
- High Energy Users- *low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State.*
- Poverty Level

This selection process will be incorporated into the Virtual ROMA System, allowing clients that apply to be placed on the service list according to the selection tool ranking. *(See Attachment for Selection Tool)*

The monthly and quarterly reports capture required data relating to High Energy Burden and High Energy Users. Reporting on these areas MSWAP will utilize the PAGE reporting system.

V.4 Climatic Conditions

According to the State Climatologist Office at Mississippi State University, Mississippi is located in the humid subtropical climate region, characterized by temperate winters; long,

hot summers; and rainfall that is fairly evenly distributed through the year. However, the state is subject to periods of both drought and flood, and the climate rarely seems to bring "average" conditions. More typical would be an expectation of "feast or famine" with regard to weather events as the climate delivers energy and moisture in subtropical latitudes between a large landmass to the north and the Gulf of Mexico to the south.

Prevailing southerly winds provide moisture for high humidity and potential discomfort from May through September. Locally violent and destructive thunderstorms are a threat on an average of about 60 days each year. Eight hurricanes have struck Mississippi's coast since 1895, and tornadoes are a particular danger, especially during the spring season.

Normal mean annual temperatures range from 62F in the north to 68F along the coast. Low temperatures have dropped to 16F below zero while high temperatures exceed 90F over 100 days each year. Temperatures routinely exceed 100F at many places in the state each year and drop to zero or lower an average of once in five years in the state. Freezing temperatures reach the Gulf coast almost every winter. Normal precipitation ranges from about 50 to 65 inches across the state from north to south. Measurable snow or sleet falls on some part of the state in 95% of the years.

In essence, Mississippi has a climate characterized by absence of severe cold in winter but by the presence of extreme heat in summer. The ground rarely freezes and outdoor activities are generally planned year-round. Cold spells are usually of short duration and the growing season is long. Rainfall is plentiful, but so are dry spells and sunshine.

The State of Mississippi is divided into three climatic regions. Listed below is a comparison of 2018 to 2019 Heating and Cooling Degree Days according to the National Weather Service and the Weather Data Depot (<http://www.weatherdatadepot.com/>) per region.

| | 2018 | 2019 | +/- | 2018 | 2019 | +/- |
|--|----------------------------------|----------------------------------|--|----------------------------------|----------------------------------|--|
| Region | Heating Degree Days (HDD) | Heating Degree Days (HDD) | % Difference Increase/Decrease Days | Cooling Degree Days (CDD) | Cooling Degree Days (CDD) | % Difference Increase/Decrease Days |
| Tupelo (Region # 1) <i>North MS</i> | 2071 | 1854 | -10% | 3453 | 3372 | -2% |
| Jackson (Region # 2) <i>Central MS</i> | 1500 | 1312 | -13% | 5227 | 3689 | -1% |
| Gulfport (Region # 3) <i>South MS</i> | 846 | 752 | -11% | 4598 | 4236 | -8% |

These climatic variances within the State affect how the weatherization program is designed and targets the number of units weatherized. It also affects energy savings realized in different regions, as well as energy usage and cost (labor/material).

V.5 Type of Weatherization Work to be done.

V.5.1 Technical Guide and Materials

MSWAP will utilize the Mississippi Weatherization Field Guide, SWS's, 10 CFR 440 Appendix A and the NEAT/MHEA Audits (Approved April 13, 2020), to ensure that all work is being performed in accordance to the DOE approved energy audit procedures.

MSWAP provides a Notification of Funds Availability (NOFA) to subgrantees, which is use to formulate and submit a contract proposal. The NOFA consist of WAP fiscal, programmatic, and technical requirements that must be adhered to in order to administer the Weatherization Assistance Program. To ensure that subgrantee are in receipt of the Field Guide and other requirements, MSWAP requires the following along with subgrantee contract proposal:

- **Subgrantee Weatherization Field Guide Acceptance Form (See attached form)** - This form certifies that said organization will comply with the provisions of WPN 15-4. Subgrantee agrees to ensure that all tasks performed on client(s) homes meet the specifications, objectives and desired outcome for Home Energy Upgrades Standard Work Specifications (SWS) where applicable. Applicable tasks are those tasks addressed in the Standard Work Specifications for Home Energy Upgrades for Single Family, Multi-Family, and or Manufactured Homes. Furthermore, subgrantee will ensure training to all contractors/vendors on the Weatherization Field Guide and Standard Work Specifications (SWS) prior to the commencement of weatherization work. In addition, confirm that subgrantee have read and received both, the link to the online version and hard copy of the Mississippi Weatherization Field Guide and Standard Work Specifications.
- **Contractors Weatherization Field Guide Acceptance Form (See attached form)** - This form certifies that the contractor/vendor will comply with the provisions of WPN 15-4 4 (*The contractor agrees to ensure that all tasks performed on client(s) homes meet the specifications, objectives and desired outcome for Home Energy Upgrades Standard Work Specifications (SWS) where applicable. Applicable tasks are those tasks addressed in the Standard Work Specifications for Home Energy Upgrades for Single Family, Multi-Family, and or Manufactured Homes. The contractor further agrees, and understand that compensation will only occur once the job passes inspection by the agency representative/QCI on final post inspection.* Furthermore, the contractor confirm that the subgrantee agency have provided training on the Mississippi Weatherization Field Guide and Standard Work Specifications. In addition, confirm that he/she have read and received both, the link to the online version and hard copy of the Mississippi Weatherization Field Guide.

- **Certifications Data Form (See attachment)**-subgrantees must provide a list of all WX Staff certifications.

V.5.2 Energy Audit Procedures

MSWAP will utilize the NEAT/MHEA Audits when addressing dwellings. **MSWAP will comply with 10CFR 440.21 (i) when submitting for audit approval.**

Single Family/Manufactured Housing (April 13, 2020) (Expires 4/30/2025)

NEAT/MHEA must be performed to ensure that a favorable SIR is determined before any measure is performed.

Multi-Family Dwellings - No approved audit, DOE approve on case by case.

MSWAP falls below the 20% threshold and do not have a DOE-approved audit and procedures for multifamily buildings, therefore, the following actions will be taken:

- MSWAP will follow Weatherization Program Notice 16-5 when addressing requirements for determining eligibility of certain multi-family buildings as identified by the Department of Housing and Urban Development (HUD) and the Department of Agriculture (USDA).
- MSWAP understands that the Project Officer will review and approve project(s) on a case-by-case basis in the absence of a multifamily energy audit. MSWAP will submit to the Project Officer the necessary materials needed to seek approval of the multifamily project prior to commencing weatherizing the building (e.g. engineering assessment, audit input/output).

V.5.3 Final Inspection

Listed below are the procedures utilized to ensure that no dwelling unit is reported to DOE as completed until all weatherization measures have been installed and the Subgrantee, or its authorized representative, has performed a final inspection(s) including any mechanical work performed and certified that the work has been completed in accordance with the NEAT/MHEA Audits, Standard Work Specifications (SWS) and audit procedures required by 10 CFR 440.21.

All home inspections, pre and post, must be accompanied with before and after pictures.

- When reporting homes as completed, subgrantees must submit for review by the state office the follow documentation:
 1. Pre-Inspection Audit
 2. Work Order (s) (HVAV, Contractors and Change orders)

3. Pre-Audit photo's
4. NEAT/MHEA Audit
5. Audit Input Report
6. Material Listing for Job
7. Invoices/Receipts
8. Contractors Agreements
9. Post-Inspection Audit
10. Post-Audit Photo's

- Pictures must be made available for all Pre and Post Readings (pictures must show reading on the equipment).
- Agencies are required to conduct a mandatory pre and post-test on dwelling.
- The same Coordinator who conducts the pre-test cannot conduct the post test.
- All Post Inspections (WPN 15-4) **must be** completed by a *Certified Quality Control Inspector*. If one is not on staff, subgrantees **must contract** the post inspections out to a certified QCI or partner with a local CAP Agency that have certified staff to preform inspections.
- The Pre and Post-test must include all diagnostic testing where applicable.
- When the Post Inspector (QCI Final Inspector) finds work that need to be re-addressed the contractor must be contacted and provided corrective action documentation on areas that must be re-addressed. In cases where there is a third party, Local CAP, or State QCI, reports must be submitted to the agency for execution of corrective actions. Upon completion of work, the Post Inspector (QCI) must follow-up to ensure work was performed to in accordance to the SWS's before payment is rendered. QCI must perform diagnostic testing to ensure the health and safety of the project.
- MSWAP requires that QCI final inspection must ensure that all materials were utilized in accordance with the approved work scope. If all materials were not installed, subgrantees must complete a Materials Transfer Form, which identifies the unused materials and return items to the agency for proper adjustments. This form must be signed by the Executive Director and maintained in the client file. Materials returned to the vendor must be documented on a Change Order Form for proper processing and filed in the client's file. Additional materials needed to complete a measure requires a new work scope and material list must be created and maintained in client file. A final post inspection must take place after completion of all work.
- If it is determined that materials are missing or not used on the job, agency must conduct an investigation and provide a report to DCS. The individuals involved will be immediately terminated from participation in the Weatherization Program.

All Quality Control Inspections must be in accordance to SWS and Field Guide. Failure to comply may result in the following:

1. DCS will provide subgrantees with written notice concerning the QCI area of concerns.
2. DCS will require that the Subgrantee provide a written plan of action, which must follow the suggested training plan.
3. DCS will follow-up with additional monitoring of the QCI assigned jobs.
4. Failure to comply may result in termination of the QCI or suspension of the program for non-compliance.

V.6 Weatherization Analysis of Effectiveness (per 10 CFR 440.14(c)(6)(i))

MSWAP has established the policy of evaluating subgrantees program effectiveness. A quality rating (*Good, Fair, and Poor*), shall be established by consideration of factors including, but not limited to:

Program Administration

1. Program files and accuracy and timely completion/submission of reports.
2. Work quality and oversight.
3. Monitoring reports.
4. Proper invoicing techniques.
5. The practice of using DOE funds to return to previously completed homes to make adjustments or include additional measures not done on the initial visit and after unit was reported to DOE as completed.
6. Proper designation of allowable administrative expenses between administration and program support categories.

Performance Analysis

1. Proper documentation of determining eligibility.
2. Number of Elderly, Disabled, Children, High Energy User, and Households with High Energy Burden served.
3. Expenditures verses number of dwellings weatherized. Production quotas and expenditures.
4. Carbon Monoxide, Blower Door, Refrigerator testing.
5. Client education.
6. Health and Safety Practices.
7. Referrals from LIHEAP/CSBG.
8. Securing of additional funding from other agencies and programs.
9. Proper use of Priority Measures/Weatherization measures selected.
10. Pre-Inspection.
11. Final inspection/Re-inspections and follow-up.
12. Lead safe weatherization work practices and mold and moisture checklist.
13. Personnel training.
14. Required signatures.

15. Program files, accuracy, and timely completion/submission of reports.
16. Work quality and oversight.
17. Monitoring reports.

MSWAP measures productivity via weekly and monthly subgrantee reporting. The Subgrantees are required to submit the following:

Weekly Reports:

- The number of homes completed
- Type of fuel
- Demographic information

Monthly Reports:

- Final report on homes completed (*Along with required documentation. See V.4*)
- Final report on types of fuel
- Final demographics report
- Final Monthly Expenditures, and
- Energy savings report.

The above reports will be compared monthly to ensure cost effectiveness, accountability, quality of service and adequate training is provided.

If the findings are determined based on a flagrant and/or frequent noncompliance, this is considered to be a serious impact on the agency's ability to continue to operate the program effectively. Steps will be taken to suspend or terminate funding.

Once an agency is placed on special conditions either a conditions plan of action will be put in place or as stated above funding will be suspended or terminated. The decision for removal of special conditions will be based on the following:

- The nature of the findings yielding the special conditions (are the same findings recurring?)
- The agency's responsiveness to the special conditions (were the findings resolved promptly? Completely? With attention to the cause of the finding?)
- The Program Manager's assessment of the agency's potential for improving overall performance to an acceptable level.

V.7 Health & Safety (WPN 17-7) (See Attachments for Health and Safety Plan)

V.8 Program Management

V.8.1 Overview

The Division of Community Services, through Federal funds, administers programs under assigned grants, which provide assistance to the economically or socially disadvantaged citizens of Mississippi; and to carry out the provisions of the Community Economic Opportunity Act of 1983, which are:

To provide technical assistance to local agencies and communities in developing and carrying out such programs;

To provide the Governor with information with respect to programs and policies of all anti-poverty resources;

To act as an advocate for the poor at the State and national level and to provide the Governor, Legislature and other public and private entities throughout the State with information on socio-economic conditions affecting low-income Mississippians;

To mobilize Federal, State and local resources to enable the Governor to effectively respond to the needs of Mississippians who are economically or socially disadvantaged;

To monitor, conduct, supervise and administer those matters pertaining to Community Services, Community Services Block Grant, Low-Income Home Energy Assistance and Low-Income Weatherization funded operations in Mississippi in coordination with pertinent State and Federal agencies as directed by the Governor, or appropriate Federal authorities, with the concurrence of the Governor.

Organization

The Division of Community Services, through Federal funds, administers programs under assigned grants, which provide assistance to the economically or socially disadvantaged citizens of Mississippi; and to carry out the provisions of the Community Economic Opportunity Act of 1983, which are:

To provide technical assistance to local agencies and communities in developing and carrying out such programs;

To provide the Governor with information with respect to programs and policies of all anti-poverty resources;

To act as an advocate for the poor at the State and national level and to provide the Governor, Legislature and other public and private entities throughout the State with information on socio-economic conditions affecting low-income Mississippians;

To mobilize Federal, State and local resources to enable the Governor to effectively respond to the needs of Mississippians who are economically or socially disadvantaged;

To monitor, conduct, supervise and administer those matters pertaining to Community Services, Community Services Block Grant, Low-Income Home Energy Assistance and Low-Income Weatherization funded operations in Mississippi in coordination with pertinent State and Federal agencies as directed by the Governor, or appropriate Federal authorities, with the concurrence of the Governor.

V.8.2 Administrative Expenditure Limits

The impact of the 10 percent statutory and regulatory limit on administrative costs has continues to be a difficult issue for the Subgrantees in the management of their Weatherization program. As 10 CFR 440.18(e) explains, no more than 5 percent of the new PY allocation may be used for administrative purposes, and not less than 5 percent must be made available to Subgrantees. However, DCS may provide up to an additional 5 percent to Subgrantees receiving grants of less than \$350,000 of the new total PY allocation funds. In other words, DCS may make available up to 10 percent to certain, qualified Subgrantees. In these special cases, a total of up to 15 percent of the grant would be allowable for administrative purposes. Should DCS elect this option, DCS will describe the procedures used for approval to provide additional administrative funds to qualified Subgrantees as specified in 10 CFR 440.18(d). DCS will take caution, and only use the **new PY total allocation funds** in determining the administrative allowances, as any carryover funds have already had administrative costs allocated.

The State of Mississippi/DCS will ensure that funds are allocated to areas based on relative need for the project. Funds will be allocated to subgrantees based on the level of poverty as determined by the most recent census statistics in accordance with 440.15(b). Financial assistance will be used to supplement and not supplant state or local funds in accordance with 440.16 (c). The Subgrantees will be required to coordinate with other programs to the maximum extent possible in accordance with 440.16 (d). DCS is a participant in a comprehensive planning group designed to provide the greatest benefit to the client while mutually accommodating the involved parties via referrals and leveraged activities.

V.8.3 Monitoring Activities (WPN 20-4)

MSWAP continues to utilize an established monitoring plan to ensure quality workmanship, financial and programmatic accountability, and adherence to federal/state regulations as well as contractual agreements.

In accordance with WPN 20-4, the Independent QCI will be utilized when addressing the comprehensive monitoring reviews of client files and subgrantees'

records, as well as inspection of at least 10 percent of each subgrantees DOE-funded completed units.

The Division of Community Services has met with the Division of Program Integrity. Monitoring schedules will be coordinated so that DCS staff will complete the technical review during the same time DPI is monitoring the financial and administrative. The T&TA report from DCS will be included as part of the official monitoring report issued by DPI.

The programmatic monitoring system has been designed to provide a systematic method of identifying program strengths and weaknesses, a basis for assisting agencies by improving program operations and for continuing the flow of information between the subgrantee level and DCS, which is necessary for problem identification and resolution.

The State will conduct on-site monitoring visits of each subgrantee agency at least once annually. Those agencies having weaknesses in any area will be monitored and technical assistance provided as necessary to ensure program and fiscal compliance.

Procedures:

Monitoring visits will normally be scheduled and confirmed at least one week prior to the visit. However, the State does reserve the right to conduct unscheduled monitoring visits. Programmatic and Fiscal Monitoring functions will be performed by Program Integrity (PI), a division within the MDHS and Technical Monitoring by the Division of Community Services (DCS).

- Programmatic & Fiscal Monitoring (Grantee T&TA Administrative): This is conducted by The Division of Program Integrity and budgeted at 5%, at 2 staff members.
- Technical Monitoring (Grantee T&TA Technical Monitoring): This will be conducted by The Division of Community Services and budgeted at 52% at 2 staff members.

An entrance conference will be conducted with the subgrantees Executive Director or a designee to explain the purpose of the visit. Program operations of subgrantees are reviewed randomly by the Office of Monitoring. These internal audits are conducted in accordance with the General Accounting Office's "Standards for Audits of Governmental Organizations, Programs, Activities, and Functions" and generally accepted auditing standards established by the American Institute of Certified Public Accountants. Additionally, this office seeks to target those entities with large allocations and agencies with demonstrated problems. Random Technical reviews will be conducted by DCS Technical Staff.

Although each subgrantee is required to contract with an independent audit firm for

audits, the selection process is reviewed and approved by MDHS/DCS per the Audit Request for Proposal. All audit reports are reviewed and reconciled by the DCS fiscal unit.

The Office of Program Integrity will complete a written report of the administrative and fiscal review. DCS technical staff will complete a written report of the programmatic and field work performance. The Director of Program Integrity and the DCS director will review the report before it is forwarded to the agency. DCS will conduct desk and site reviews to ensure procedures are followed according to the standard work specifications. **All noted findings will be provided to subgrantees in writing within thirty days after the monitoring visit.** Deficiencies in fiscal, program operations or Technical assessments, which are not properly corrected according to instructions, may result in suspension of funds or termination.

Findings

1. Any of the following criteria generally constitutes a Finding:
 - a) Violation of eligibility guidelines.
 - b) A health or safety condition that affects clients, subgrantee staff and subgrantee subcontractors, or the integrity of the building structures that was created by, exacerbated by, or not corrected by the delivery of Weatherization services.
 - c) The omission of a required measure or technique with major energy savings potential.
 - d) Work not performed to the standard work specifications (SWS).
 - e) Expenditure of Weatherization Assistance Program funds on measures that are not approved under the Weatherization Assistance Program or required for health or safety reasons.
 - f) Major expenditure of funds on measures that do not yield a NEAT or MHEA generated savings-to-investment ratio of one or greater.
 - g) False documentation on pre and post audits.
 - h) Failure to track un-used materials.
 - I) Failure to maintain client file documentation according to procedures.

2. An Onsite Assessments Report that contains a Finding:
 - a) Requires an immediate response from the subgrantee.
 - b) Requires corrective action be taken.
 - c) May result in disallowed costs.
 - d) May result in an increased assessment/monitoring rate.
 - e) May result in the requirement of additional training for the subgrantee personnel and contractors.
 - f) May result in the recommendation for High Risk Status for the subgrantee.
 - g) Continued Findings of this type may result in termination of DCS Weatherization Assistance Program Award to the subgrantee and/or

disbarment of contractors.

Trends for Concern

1. The following criterion generally constitutes a Trend for Concern:
 - a) Any other areas of noncompliance with the Mississippi Weatherization Field Guide/Standards, Mississippi Weatherization State Plan, Standard Work Specifications (SWS) or any other guidance issued by the Division of Community Services not considered a Finding
2. An Onsite Assessments Report that contains a Trend for Concern:
 - a) Requires immediate action to eliminate any future occurrences.
 - b) May require corrective action to be taken if similar future situations relating to Major energy savings measures, documentation requirements, or health and safety measures are found to be repeated.
 - c) May be reclassified as a Finding if repeated, that is, if similar situations are found on consecutive assessment visits.
 - d) May result in the requirement of additional training for the subgrantee personnel or contractors.

| TENTATIVE MONITORING SCHEDULE | |
|--------------------------------------|--------------------------------|
| PERIOD | AGENCY |
| FIRST QUARTER | SOUTH CENTRAL MULTI-COUNTY |
| SECOND QUARTER | WWISCAA PRAIRIE OPPORTUNITY |
| THIRD QUARTER | NORTEAST MS CS LIFT, INC. |
| FOURTH QUARTER | TBA (FOLLOW-UPS) |

V.8.4 Training & Technical Assistance

Consumer Education-

Each Subgrantee must provide Client Notification Education. For occupied homes, the Auditor must have an adult tenant or homeowner sign an acknowledgement of Radon, Lead and Mold pamphlets.

The pamphlets can also be sent by certified mail with receipt to be placed in the customer file. In multi-unit housing, subgrantees must:

Provide written notice to each affected unit (notice must describe: general nature and locations of the planned renovation activities; the expected starting and ending dates;

statement of how occupant can get pamphlet at no charge); or

Post informational signs (signs must describe general nature and locations of the renovation and the anticipated completion date) and post the EPA pamphlet. (If pamphlet is not posted, then subgrantees are required to provide information on how interested occupants can review a copy of the pamphlet or obtain a copy at no cost from the Weatherization Program).

Delivery to owner/occupant. Owner and/or occupant's signature with acknowledgment or certificate of mailing. The owner/occupant must acknowledge receipt of the EPA pamphlet prior to start of renovation that contains the address of unit undergoing renovation, name and signature of owner or occupant, and the date of signature. It must be in same language as "contract for renovation" for an owner-occupied (or the same language as the lease for occupant of non-owner occupied) target housing.

If the Weatherization Program cannot get a signed acknowledgment (either the occupant is not home or refuses to sign the form), then the self-certification section of the form must be signed to prove delivery.

The acknowledgement form must be filed and remain with the client file for Three years from date of signature. In addition to providing a copy of the pamphlet to owners and occupants, designated local sugrantee staff (e.g., intake specialist, auditor, crew chief) must discuss the hazards associated with lead-based paint and lead dust, and describe how they will conduct LSW in the home.

The following forms must also be completed during client notification/education:

- 1) Client Health and Condition Form
- 2) Notification of Health & Safety Form
- 3) Radon acknowledgement form

Training and Technical Assistance – Approach

T&TA activities are intended to maintain or increase the efficiency, quality, and effectiveness of the Weatherization Program at all levels. Such activities will be designed to maximize energy savings, minimize production costs, improve program management and operational efficiencies, contractor work quality, increase client satisfaction, and to reduce the potential for waste, fraud, abuse and mismanagement.

T&TA funds are given directly to subgrantees to address training. Subgrantees will follow the MDHS Subgrant/Agreement Manual. Funds may be used to obtain and maintain certifications, training, training support, and providing or receiving programmatic and technical assistance. T&TA funds may also be used to train contractors participating in the program provided a retention agreement is obtained.

Training and Technical Assistance – Approach

The MSWAP will use the following methods to provide T&TA:

- On-site visits provide an excellent opportunity to assess the technical needs of subgrantees through the notation of program deficiencies.
- DCS Weatherization Staff will provide specific T&TA on automated audit inspection procedures as a regular component of the on-site Programmatic and Management and production monitoring visits.
- DCS Weatherization staff will provide T&TA through onsite, written, and telephone communication with Subgrantee staff.
- DCS staff will provide on-site or offsite T&TA as needed. Need may be identified by the Subgrantee staff, Program Integrity monitoring visits, DOE Project Officer monitoring visits, internal state audits, IG reports, or by DCS staff as the result of observation for resolution of problems, or to meet updates required by DOE.
- DCS and Subgrantee staff will participate in national activities as they are planned. MSWAP will assure staff are able to attend these meetings and will encourage Subgrantee staff to take advantage of training opportunities.
- MSWAP management staff will attend DOE mandated activities/events, NASCSP events, State Weatherization Directors' meetings, national DOE sponsored conferences, and other staff development trainings as needed or required. Continuing education and conference attendance ensure Grantee effectiveness in administering and implementing the grant.
- Quarterly Weatherization Network Meetings will be scheduled to address areas of common concern with regard to training and policy for current initiatives and future program requirements. T&TA needs will be identified through feedback from the Weatherization Network.
- MSWAP will utilize the QCI on-site assessment tool to analysis deficiencies of the work performed on dwelling.
- MSWAP will utilize the results of the analysis to rate areas of deficiencies and effectiveness of subgrantee.
- Based on the ratings of deficiencies, MSWAP will develop a score card to determine training opportunities.

- Field Guides and Standards will be provided to subgrantees via the Notification of funds Availability (NOFA).
- Each Subgrantee and Subgrantee Contractor(s) will be provided T&TA to address the Field Guide and Standards.

In accordance with WPN 15-4 and Memorandum 034, T&TA activities for MSWAP field staff are to be designed as Comprehensive or Specific training. Comprehensive training is comprehensive, occupation specific training, which follows the curriculum aligned with the Job Task Analysis (JTA) for that occupation. Specific training is issue specific, short-term trainings to address specific skills or tasks.

MSWAP field staff are only those technical staff members directly employed by DCS and Subgrantee agencies, such as auditors and inspectors. *Contract auditors and inspectors are not explicitly included, but may be eligible for T&TA funded training as long as a **retention agreement is obtained**. T&TA funds can be used to train contractors on the Subgrantee level participating in the MSWAP. In making the determination to pay for contractors training, Subgrantees **must secure a retention agreement** in exchange for training. The retention agreement must require that the contractors will work in the Program for a specific amount of time, which must align with the cost of the T&TA provided.*

Each worker will be afforded the opportunity to acquire knowledge and skills needed to perform the specific job task. Also, each Subgrantee will be required to have on staff **at least one BPI Certified Quality Control Inspector & Energy Auditor**. Subgrantees replacing or hiring new staff must ensure that the candidate(s) for employment be certified or have the knowledge, skills and abilities to meet the JTA's requirements for Retrofit Inspector, Energy Auditor, and QCI. All staff will be required to secure their certification within **Thirty-six (36) months**. Individualized training plans are allowed to be structured in the manner best suited for each agency. Subgrantees must provide Action Plans for the following:

- ✚ QCI, EA, CL and RIT- Subgrantees must provide a plan that ensures training every three years for the purpose of maintaining certifications.
- ✚ Subgrantees must provide a plan to address New Hires according to the above criteria.
- ✚ Subgrantees must provide DCS all documentations of certifications obtain by Subgrantee WAP Staff, within thirty (30) days of completion.

Note: *It is the responsibility of the Subgrantee to ensure staff and/or subcontractors complete training. DCS will work to develop a plan to assure subgrantees ensure their contractors obtain and maintain the required comprehensive training certifications. DCS will monitor Subgrantee progress and track credentials. Weatherization staff may not function unsupervised until training and certification requirements are met.*

Comprehensive training must be provided by a DOE approved accredited training program. Currently, *IREC accredited training centers are the only training centers that meet this requirement.* MSWAP training will be provided by the contracted training provider in the manner best suited for the situation. MSWAP will continue to collaborate with Community Housing Partners (CHP) to provide Comprehensive & Specific training. CHP is an IREC accredited training provider for the QCI, Energy Auditor, CL & RIT certification.

Specific training will be obtained on an as-needed basis and on a rolling basis to fulfill certification CEU requirements. Specific training is considered but not limited to single issues, short-term, *training to address acute deficiencies in the field*, concerns found during on-site reviews by DCS T&TA Staff, Program Integrity Staff, DOE Project Officer, and Desk reviews. In cases of on-site visits, DCS will provide technical assistance in the field.

Other required or approved training will cover topics such as Health & Safety, using the NEAT/MHEA software, creating cost effective job work scopes, heating system diagnostics, performing post inspections, materials installation, air sealing, and pressure diagnostics. The goal of this training is also to introduce or significantly improve the knowledge and expertise of the WAP Network.

MSWAP will collaborate with CHP to execute the following training to assure that each worker is afforded the opportunity to acquire the knowledge and skills needed to perform the specific job task:

First Quarter (July-September):

- MSWAP Network Meeting July TBA
- ASHRAE 62.2/Zonal Diagnostics July TBA
- CAZ Field Mentoring August (*3 agencies TBA*)
- Energy Auditor Course September (*2wks. TBA*)
- NASCSP September TBA

Second Quarter (October-December):

- MSWAP Network Meeting October TBA
- Whole House Field Mentoring October (*5 days TBA*)
- Installation Field Mentoring November (*3 agencies TBA*)

Third Quarter (January- March 2021)

- MSWAP Network Meeting January TBA
- Installation Field Mentoring February (*3 agencies TBA*)
- QCI Process March (*TBA*)
- QCI Certification TBA

- On-site T&TA TBA

Fourth Quarter (April-June 2021)

- MSWAP Network Meeting April TBA
- CEU sessions TBA
- On-site T&TA, TBA

DCS will encourage that the following online courses, offered by CHP be taken before the end of the program year:

- Lead Safe Weatherization course (LSW) if needed
- HVAC Fundamentals
- ASHRAE/ Red Calc Webinar (2hrs.)
- Retrofit Installer Technician
- Manufactured Housing Fundamentals
- Energy Auditor
- Online Math Review Course (*Free*)

V.9 Energy Crisis & Disaster Plan (WPN12-7)

**State of Mississippi
Weatherization Assistance Program
Disaster Relief Plan**

For weatherization purposes, a disaster is determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. The crisis will generally involve three phases: the crisis itself, the clean-up, and rebuilding of the area.

Purpose: To develop a prudent disaster response plan that addresses the needs of affected low-income clients and takes into consideration the limited funding available and the effects to the weatherization program activities. The State of Mississippi will work in conjunction with its Disaster Relief Team to aid with identifying and securing any resources that may be available to assist in the relief. Project Management Center (PMC) Project Officer will be notified as soon as possible regarding a disaster.

Eligible Activities:

Reweathering – The rule allows any home damaged by a disaster to be reweatherized, without regard to date of weatherization, if the damage to materials is not covered by insurance.

Health & Safety – The rule allows a State to develop a health and safety plan to address the needs of low-income occupants of eligible homes.

Technical Assistance – The rule permits the States to use technical assistance units in flexible ways to achieve energy efficiency goals of the program.

Leveraging – The rule permits States to use a small percentage of DOE grant funds to provide leveraging opportunities at the state and local levels with prior approval.

Eligible Population: Any person or household, (*residence of Mississippi*), meeting income eligibility based on 200% of the federal poverty guidelines. Priority will be given to clients currently on the WX Priority Lists, elderly, handicapped, and families with children.

Allowable expenditures under WAP include:

- 1) The cost of incidental repairs to a negligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective per 10CFR 440.18(d)(9) and,
- 2) The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 40.18(d) (15). To the extent that the services are in support of eligible weatherization (or permissible re-weatherization) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. The \$7,669 per dwelling unit limit continues to apply.

The State of Mississippi elects to limit incidental repairs (10 CFR 440.14(c) (6) (viii) to \$500. If total anticipated repair cost exceeds \$500 in materials expenditures, DCS must first authorize the additional expenditures before the costs are incurred. All requests must be in writing, documenting why the exception is being requested and how the repairs will benefit the effective performance or preservation of Weatherization materials.

The use of WAP funds to pay personnel to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. *Using WAP funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.*

Subgrantees may use weatherization equipment to help assist in disaster relief provided the WAP is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.

Health & Safety – Subgrantees will utilize the health and safety plan to address the needs of low-income occupants of eligible homes. (See Attachment)

Technical Assistance – The rule permits the States to use technical assistance units in flexible ways to achieve energy efficiency goals of the program.

Leveraging – The rule permits States to use a small percentage of DOE grant funds to provide leveraging opportunities at the state and local levels with prior approval.

Eligible Population: Any person or household, (*residence of Mississippi*), meeting income eligibility based on 200% of the federal poverty guidelines. Priority will be given to elderly, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10CFR 440.16(b)) However, it would be permissible to consider in households located in the disaster area, as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

Scope of Work:

1. Authorization for subgrantees to re-prioritize service requests coming from disaster areas so that eligible residents from these areas receive weatherization and re-weatherization services as quickly as possible as long as the households are determined eligible for WAP services; meet one of the priorities described in 10 CFR 440.16(b); and are free and clear of any insurance claim or other form of compensation resulting from the damage incurred from the disaster.
2. Authorization for DCS to submit an amendment to its Weatherization State Plan that reflects changes, including potential reductions in production, and the use of unspent carryover funds if necessary, to provide emergency services to the affected areas.

Additional Criteria:

I. First Priority

- a. Health & Safety
- b. Measures within scope of program

II. Second Priority

- a. Specific list of measures that is most beneficial for the type of disaster to include, but not limited to:
 1. Minor roof repair – *per WX guidelines*
 2. Repair or Replacement of Sheet Rock
 3. Replace hot water heaters
 4. Replace Insulation (Walls, Attic, Crawl Space)

5. Replace/Repair Windows and Doors
6. Replace/Repair HVAC system and space heaters
7. Replace electrical/damaged outlets – (H&S) Work will be done on outlets that impacts the weatherization measures.
8. Minor envelope repairs
9. All remaining measures –
 - a. Installed in order of priority in accordance with State Policies and Procedures.
 - b. Subgrantees will utilize the NEAT/MHEA Audit when determining work to be done.

VI. FEDERAL FINANCIAL REGULATIONS

VI.1 DOE Financial Assistance Rules

All subgrantees must develop and maintain fiscal and accounting procedures, which conform to both Federal and State policy for grants administration.

The State will provide training on fiscal control procedures as necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this subtitle, including monitoring assistance under this subtitle. Every year the State shall prepare an audit of its expenditure of amounts received under this subtitle and amounts transferred to carry out the purposes of this subtitle.

In accordance with the assurance above, the State of Mississippi has established fiscal controls and fund accounting procedures to assure the proper disbursement of all federal funds received by the State. Additionally, the State has established procedures for monitoring the utilization of such funds by project operators. An audit of the Weatherization Assistance Program will be conducted as prescribed by the DCS and appropriate State and/or Federal regulatory authority.

A description of the controls and procedures to be implemented is as follows:

1. DCS will follow the established fiscal policies and procedures mandated by state law. Financial areas addressed in these procedures consist of fiscal management controls, the accounting system, fund controls, personnel and payroll management, property management, procurement, and the disbursement of funds.
2. The financial standards set forth by the State establish an adequate accounting system with appropriate internal controls which will safeguard assets, check the accuracy and reliability of accounting data, promote operating efficiency and encourage compliance with prescribed management policies.

Subgrantee Default, Suspension, Transfer/Termination

DCS may, by giving reasonable written notice specifying the effective date, terminate this grant in whole or in part for cause, which shall include:

Failure, for any reason, of the subgrantee to fulfill in a timely and proper manner its obligation under this grant including compliance with the approved work program and attached conditions, and such statutes, executive orders, and DOE and/or DCS directives as may become generally applicable at any time;

Late submission by the subgrantee to the DCS of DOE reports that are incorrect or incomplete;

Ineffective or improper use of funds provided under this grant; and

A. **Termination or Suspension.** If the Subgrantee materially fails to comply with any of the covenants, terms or stipulations of this Agreement, whether stated in a federal statute or regulation, an assurance, in the State plan or application, a notice of award, or elsewhere, DCS may, upon giving written notice to Subgrantee, take one or more of the following actions, as appropriate in the circumstances:

- (1) Temporarily withhold cash payments pending correction of the deficiency by Subgrantee or a more severe enforcement action by DCS;
- (2) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance;
- (3) Wholly or partly suspend or terminate the current award for the Subgrantee's program;
- (4) Withhold further awards for the subgrantee's program; or
- (5) Take other remedies that may be legally available.

B. **Notice of Termination for Cause.** If, through any cause, Subgrantee shall fail to fulfill in a timely and proper manner, as determined by MDHS, its obligations under this Subgrant, or if Subgrantee shall violate any of the covenants, agreements, or stipulations of this Subgrant, MDHS shall thereupon have the right to terminate the Subgrant by giving written notice to Subgrantee of such termination and specifying the effective date thereof at least five (5) days before the effective date of such termination. In the event of such termination, Subgrantee shall be entitled to receive just and equitable compensation for satisfactory work completed on services or

documents or materials collected and/or prepared by Subgrantee in connection with this Subgrant. Such compensation shall be based upon the fees set forth in Section III, but, in no case, shall said compensation exceed the total Subgrant price.

Notwithstanding the above, Subgrantee shall not be relieved of liability to MDHS for damages sustained by MDHS by virtue of any breach of this Subgrant by Subgrantee, and MDHS may withhold any payments to Subgrantee for the purpose of set off until such time as the exact damages due to MDHS from Subgrantee are determined.

- C. Termination for Convenience. MDHS may terminate this Subgrant at any time by giving written notice to Subgrantee of such termination and specifying the effective date thereof at least five (5) days before the effective date of such termination. Subgrantee shall be paid an amount which bears the same ratio to the total compensation as the services actually and satisfactorily performed bear to the total services of Subgrantee covered by the Subgrant, less payments of compensation previously made.
- D. Partial Termination. In the event of a partial termination, the Subgrantee shall incur no obligations other than those specifically identified in the agreement or contract governing the partial termination.
- E. Rights and Remedies upon Termination. In the event of termination as provided in this Section, Subgrantee shall be entitled to receive just and equitable compensation for services or performances actually and satisfactorily performed, prior to the effective date of termination, under this Agreement. Such compensation shall be based upon the payment provisions described in Section III hereof, but, in no case, shall said compensation exceed the total amount of this subgrant.
Subgrantee shall be liable to DCS for damages sustained by DCS by virtue of any breach of this Agreement by Subgrantee, and DCS may withhold any payments to Subgrantee for the purpose of set off until such times as the exact amount of damages due to DCS from Subgrantee are determined. The rights and remedies of DCS provided in this Section shall not be exclusive and are in addition to any other rights and remedies provided by law or in equity.

VI.2 OMB Cost Principles (SEE ATTACHMENT)

VI.3 Financial Audits (SEE ATTACHMENT)

VI.4 Reporting Requirements

Maximum Average Per-Dwelling

The adjusted annual average for PY2020 is determined by using the percentage increase in the Consumer Price Index (CPI) (all items, United States city average) for FY 2019 or 3 percent, whichever is less. The percentage increase in the CPI for the previous 12-month period (September 2018-September 2019) was 1.7%. Therefore, the adjusted average expenditure limit for PY 2020 is **\$ 7,669**. **The average includes units computed in a multifamily building of 5 units or greater.**

In accordance with 10 CFR Part 440.18(b) and (c), the expenditure of financial assistance provided under WAP for labor, weatherization materials, and related matters for a renewable energy system, shall not exceed an average of \$3,000 per dwelling unit, as adjusted. The percentage increase in the CPI for the previous 12month period (September 2018 – September 2019) was 1.7%. Therefore, the PY 2020 adjusted average for renewable energy measures is **\$3,762** for renewable energy system measures with a Savings to Investment Ratio (SIR) greater than 1.

Note: *The adjusted average for renewable energy measures is not a separate average, but part of the overall adjusted average expenditure limit of \$7,669.*

| | | |
|-----------------|-------|-------------------|
| July 2020 | -Due- | August 3, 2020 |
| August 2020 | -Due- | September 3, 2020 |
| September 2020 | -Due- | October 2, 2020 |
| October 2, 2020 | -Due- | November 3, 2020 |
| November 2020 | -Due- | December 3, 2020 |
| December 2020 | -Due- | January 4, 2021 |
| January 2021 | -Due- | February 3, 2021 |
| February 2021 | -Due- | March 3, 2021 |
| March 2021 | -Due- | April 2, 2021 |
| April 2021 | -Due- | May 3, 2021 |
| May 2021 | -Due- | June 3, 2021 |
| June 2021 | -Due- | July 2, 2021 |