

New York State Weatherization Assistance Program

State Plan Amendment
Program Year 2011
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New York State Homes and Community Renewal

Weatherization Assistance Program 2011 State Plan

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Executive Summary

The New York State Weatherization Assistance Program Plan for Program Year 2011 serves as New York's application for Weatherization funds and the guide for allocation of more than \$73 million in federal residential energy conservation funding. These funds will provide assistance to more than 10,000 households across the State. The program is administered in New York by Homes and Community Renewal (HCR), which was formed in 2010 through the integration of several state housing agencies. HCR is uniquely positioned to deliver Weatherization program services in coordination with other State housing and energy efforts.

The purpose of the Program is to install energy conservation measures in the homes of income-eligible persons, especially homes occupied by the elderly, persons with disabilities, and children. Funds are targeted to the most cost-effective conservation measures, determined from an on-site energy audit of the building. The program is intended to reduce national energy consumption, particularly of imported oil, and to reduce the impact of higher energy costs on low-income families.

New York relies on a network of 66 subgrantees that provide program services in each of the State's 62 counties. Subgrantees provide energy conservation services through their own trained crews and by subcontracting work to local contractors. Energy conservation measures funded through the program range from air sealing and insulating small homes to replacement of heating systems in large apartment buildings. The program assists all types of housing units, including single- and multifamily housing, manufactured housing and groups homes.

The Program provides important resources for low-income households in New York. The State's climate, with cold, snowy winters and hot, humid, summers, generates a high demand for heating fuels and for electricity for cooling. Many of our poorest households live in housing that was built when energy was cheap and plentiful. And, New York's aging housing stock means that many low-income residents of the State pay 15% or more of their income for utility costs.

HCR will follow this plan to distribute Weatherization Assistance Program funding and administer the program in 2011. Section One provides an overview of the Program, detailing the advisory mechanisms that have been established to provide policy guidance, and describes the method for distributing funds, characteristics of the State's housing stock, type of work that will be done through the program, and the expected cost savings from performing the work that's proposed.

Section Two provides the proposed allocation of funds for Program Year 2010, and details the formula that the State uses to allocate funding. That section also sets forth criteria for continued subgrantee participation in the Program, for identifying new subgrantees when necessary, and describes the type of work that will be done in each unit. Section Three

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explains the process for implementing program activities, including the plan for soliciting public participation in the development of Plan activities, and provides information on Program contracting and payment processes, allocation of funds within each unit, and policies intended to promote leveraging of other funds for conservation activities. Section Four documents the Training and Technical Assistance activities that are conducted on behalf of subgrantees.

The Weatherization Assistance Program is uniquely designed to address the problems that high energy costs pose to low-income residents, and at the same time bolster the State's economy. Each dollar invested in program activities can be expected to result in a savings of about three dollars in energy costs over the life of the installed measures – money that is returned to the local economy. In partnership with DOE and the network of energy conservation providers that delivers program services, HCR will ensure that these wise public investments in our future will continue through the 2011 Program Year.

SECTION 1 - STATEWIDE INFORMATION

1.1 Overview of the Program

The Weatherization Assistance Program (the “Program”) is administered in New York State by Homes and Community Renewal (HCR), through the Office of Housing Preservation. The Program provides energy services to income-eligible individuals and families to improve the energy efficiency of their dwellings and to reduce their housing expenditures for fuel. Since the inception of the Program in 1977, more than 540,000 dwellings have been assisted.

Priority for weatherization activities is given to households with children, the elderly, and persons with disabilities. Priority is also given to dwelling units occupied by homeowners and renters with high fuel costs in relation to their household income, and to properties where other state and federal housing resources are leveraged. Some households are referred by a local office for the aging or local department of social service.

Program services are delivered through a statewide network of local service providers, referred to as subgrantees. HCR requires that subgrantees follow sound internal management policies and provide skilled workmanship, high quality materials, and timely production of units. The performance of these subgrantees is evaluated on a continuing basis throughout the program year. Subgrantees include community action agencies, other community-based not-for-profit organizations, and local governmental agencies. Under contract with HCR, subgrantees perform a number of services, including identification of eligible clients, evaluation of dwelling units to be weatherized, installation of energy-saving measures, identification and mitigation of related health and safety concerns, supervision of weatherization work performed by staff or subcontractors, maintenance of client and program files and preparation of regular management and fiscal progress reports. HCR has the responsibility for overall monitoring and oversight and provides an ongoing training program to improve services.

During the past 18 months, HCR has administered nearly \$400 million in American Reinvestment and Recovery Act (ARRA) Program funds. These funds will continue to be available for production during part of the 2011 Program Year. This allocation of funding represented the largest increase in funding in the Program’s history and has created or retained more than 1,100 well-paying environmentally responsible jobs throughout the State. It has provided resources to assist thousands of low-income households that would otherwise still be waiting for assistance.

Federal rules require states to submit an annual plan for administration of the program. This plan was prepared in accordance with the Final Rule for the Program (10 CFR Part 440), and with available grant guidance issued by the US Department of Energy (DOE).

1.1.a Policy Advisory Council

Pursuant to 10 CFR Part 440.17, HCR has established a Policy Advisory Council (PAC) to assist in the development and operation of the Program and provide advice in the development of the State Plan. The PAC is broadly representative of subgrantees, energy

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advocates, State agencies, and other organizations - including consumer groups - that represent low-income persons in New York. PAC members are well-versed in energy and housing issues. A list of current PAC members and their affiliation is attached as Appendix A.

During the program year, the PAC will meet quarterly, with agendas covering a range of issues of concern to subgrantees, low-income clients, and program partners. HCR typically provides updates on funding, program rules, coordination with other programs, and related issues at PAC meetings.

1.1.b Subgrantee Task Force

The Subgrantee Task Force is comprised of subgrantee weatherization directors and staff. The Task Force provides opportunities for subgrantees to meet with their peers and HCR staff to discuss the status of the program and identify and resolve a variety of program concerns.

Several statewide or regional Subgrantee Task Force meetings will be held during the Program Year. The statewide meetings are open to all weatherization directors and the agenda for these meetings deal with issues of statewide scope and significance. The regional meetings provide an opportunity to discuss issues of more local interest.

1.1.c Funding Distribution

HCR allocates available federal funding to each county based on a formula which includes factors related to income-eligible population and climate. Additionally, a portion of the total funding is reserved to provide a minimum level of funding to each county where the allocation formula did not generate significant program funding.

HCR assigns a subgrantee to cover each county in the State to provide weatherization services to the eligible population. In urban counties, there is typically more than one subgrantee serving each county, each assigned to a specific service area. In non-metropolitan counties subgrantees typically serve an entire county or a two-county area.

1.1.c Funding for the 2010-2011 Program Year

For the 2010-2011 program year, New York received \$68.6 million in program funds. This included \$15.8 million in DOE funds and \$52.8 million of US Department of Health and Human Services Low Income Home Energy Assistance Program (HEAP) funds, including funds carried forward from prior years.

1.1.d Funding for the 2011-2012 Program Year

New York anticipates receipt of \$70.2 million of additional funding to continue the Program. This amount includes \$15.8 million in DOE funds and \$54.4 million of new HEAP funds. These amounts are based upon continuing resolutions under which the federal government is currently operating and are subject to change. An additional \$6.8 million in prior year HEAP funds will also be available for the 2011 Program Year.

New York will continue to provide funds to eligible subgrantees, based upon their compliance with all State and federal requirements and the successful completion of their Program Year 2010 budget allocation. The minimum allocation for each county will be set at

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\$375,000 for subgrantees serving an entire county, and \$575,000 for subgrantees serving two or more counties. The Program Year will begin April 1, 2011 and end March 31, 2012. However, HCR may require subgrantees to delay the start of their Program Year 2011 budget period until July 1, 2011, to allow time to complete ARRA production and Program Year 2010 production.

As part of ARRA, HCR also contracted with “temporary” subgrantees to target multi-family properties and supplement the capacity of the existing subgrantee network. The temporary subgrantees will not receive an allocation in 2011-2012, but will continue to receive ARRA funds. As always, decisions about future funding will be based on availability of funds, State priorities, and HCR’s assessment of subgrantee performance.

1.2 Estimate of the Energy Cost to be Saved

A 1998 study prepared by AEA for HCR found that average annual energy savings per unit in multi-family buildings assisted by the Program was 29.4 MMBtu. A “metaevaluation” of effects of the program was issued by Oak Ridge National Laboratory in 2005; that study found average savings for gas-heated units in excess of 30 MMBtu, or about 23% of pre-weatherization consumption of natural gas. Our estimate, based in part on fuel consumption data provided by the New York State Weatherization Assistance Director’s Association, is that typical fuel savings in assisted one- to four-unit buildings exceeds 45.5 MMBtu.

The following table summarizes these saving estimates, and projects the expected savings for units to be weatherized during Program Year 2010.

Proposed Energy Savings	Building Type		
	Multi (>4 Units)	1 to 4 Units	All Buildings
Average savings / unit-heating	29.4 MMBtu \$527	45.5 MMBtu \$815	
Average savings / unit-electric	615 kWh \$82	1230 kWh \$165	
Units to be weatherized	6,549	3,526	10,075
Annual savings, heating and electric	\$3,988,189	\$3,455,725	\$7,443,914
Savings after 15 years, heating and electric	\$59,822,831	\$51,835,875	\$111,658,706
Average cost per unit	5,745	6,500	
Savings per unit over life of installed measures	\$9,135	\$14,700	
Benefit/cost ratio	1.59	2.26	

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1. Based on a staff estimate of \$17.91/MMBtu for average fuel prices in New York and a \$0.134 /kWh average electric rate.
2. In 2010 dollars, assumes 3% drop-off in savings per year.
3. Actual life of individual measures varies from two to twenty-five years.

SECTION 2 - SUBGRANTEE INFORMATION

2.1 Allocation of Funds

HCR expects \$76,986,616 to be available to support Program activities in Program Year 2011. The DOE Program allocation for Federal Fiscal Year 2011 is projected to be \$15,786,616, based on the continuing resolutions passed by the Congress to fund the program. HCR also expects to receive \$54,400,000 in HEAP funds, which is 11.5% of the entire allocation received by New York State. In addition, \$6,800,000 in prior year HEAP funds will be available in Program Year 2011, for a total of \$61,200,000 in HEAP funds.

The funding sources are summarized below:

DOE Funds	\$ 15,786,616
HEAP Funds, prior year	6,800,000
<u>HEAP Funds, current year</u>	<u>54,400,000</u>
Total Available	\$ 76,986,616

Up to \$3,851,994 in DOE and HEAP funding will be retained by HCR for administration and training and technical assistance costs, including \$789,331 of the DOE allocation for administration, and \$1,480,182 of DOE funds for training and technical assistance.

The balance of \$73,134,622 will be available for allocation to subgrantees by formula and to technical support subgrantees, as described below. Subgrantee and technical assistance allocations are listed in Appendix C.

Funding Allocation Formula

Program funding is allocated by a formula which takes into account climate (in terms of heating and cooling degree days) and the number of income-eligible households in each county (see Appendix B). This allocation methodology is similar to that used by DOE to allocate Program funding to the states.

The first factor in the allocation formula (degree days) is determined by calculating the relative heating degree days and cooling degree days for each county, compared to the State average, with cooling degree days given 1/10th the weight of heating degree days. An average degree day total has been established for each county using 30-year averages (1971-2000) for weather reporting stations in those counties. In counties where there were two or more reporting stations, degree days were averaged. In counties where reporting stations did not have 30-year averages, the next closest stations were used. The average of the degree days for each county was then divided by the average of the degree days for the State as a whole to

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yield a percentage. This ratio of each county's degree days to the New York average (7020) is the first factor in the allocation formula.

The second factor in the allocation formula is determined by calculating each service area's number of income-eligible households as a percentage of all such households in the State. This number of income-eligible households was determined by using census data for households with incomes at or below 150 percent of poverty. This figure was then divided by the total number of income-eligible households in the State to yield a percentage of the total income-eligible households for each county.

These two factors, the percentage of income-eligible households in each county and the ratio of the county's degree days to the New York average, were multiplied to determine the final percentage for each county. Since the degree day factor represents the relative extent to which each county is above or below the State average, the total of degree day factors does not total one hundred. As a result, the final percentages were uniformly adjusted to total 100 percent overall using an adjustment factor of 1.2239, applied uniformly to all counties.

This resulting percentage represents the portion of the total State allocation each county is to receive. This percentage is then multiplied by \$69,082,738 (the amount available for allocation by formula after setting aside funds for technical support subgrantees, for coordinated projects, and to bring small counties up to the minimum funding level, as described below) to determine each county's allocation. HCR has identified distinct service areas that have boundaries consistent with census tracts. Each subgrantee within these counties has signed an agreement to provide services to their designated service area. Where a subgrantee service area includes more or less than one county, proportionate allocations to subgrantees are further determined using census tract data calculating the number of households at or below 150 percent of the poverty level in each subgrantee's service area.

In some counties, application of this allocation formula does not result in a significant level of funding. Most of these counties are in the colder regions of New York and have smaller numbers of income-eligible population compared with other New York counties. Thirty-three counties in New York generate an allocation of less than \$375,000. For Program Year 2011, subgrantees serving a single county with a formula allocation of less than \$375,000 will receive an allocation of \$375,000. For subgrantees serving all of two or more counties, New York will provide an allocation equal to the greater of \$575,000 or the sum of the largest county allocation in the multiple-county area, plus \$200,000 for each county that has an allocation of less than \$200,000. Only those subgrantees that demonstrate the capacity to efficiently utilize the additional funding will be provided with the higher minimum allocation.

Where application of the allocation formula results in a funding allocation to a county above the minimum level, the county will receive the funds derived from the application of the formula. For subgrantees that serve more than one county, the allocation will equal the greater of \$575,000, the total formula allocations of the two counties, or the sum of the largest individual formula allocation of the counties and \$200,000 for each additional county served. As a result of the establishment of these minimum allocations, 16 subgrantees that serve a single county will be funded at the minimum allocation level, and eight subgrantees that serve multiple counties will receive adjusted allocations.

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HCR encourages subgrantees to increase the cost-effectiveness of the Program wherever possible. Over the past several years, several subgrantees covering relatively small service areas that did not generate a significant allocation of funds consolidated with other subgrantees, or with other local agencies, to improve cost-effectiveness. HCR will work with subgrantees in counties that generate low formula allocations to identify appropriate strategies to deliver services to residents of those counties.

Allocations to individual subgrantees will be subject to a review of production and expenditures during the 2011 Program Year and adjusted downward or incrementally funded where HCR determines that the 2011 allocation may exceed current capacity.

2.2 Dwelling Unit Information

During Program Year 2011, HCR expects to weatherize 10,075 dwelling units with HEAP and DOE funds (excluding ARRA funds). This number of units is based on the estimate of units to be completed by each subgrantee at an average cost per unit (CPU) of \$6,500 (although it is estimated that multi-family units will have a lower average CPU). On average, units assisted by the Program will receive \$1,333 in DOE funds and \$5,167 in HEAP funds (but assisted units will not receive more DOE funds than the maximum stated in Section 3.4, below). This approach will ensure that New York is in compliance with 10 CFR Part 440.18 for the expenditure of DOE funds, and that costs remain below the revised DOE expenditure limit of \$6,572.

New York will continue to include shelters and group homes on a square-footage or per-story basis. In the case of eligible dwelling units which meet the definition of "shelter," dwelling units will be calculated based upon either (a) each 800 square feet of floor space; or, (b) each story of the building which is used as a living area.

The following table summarizes the expected unit production by tenure:

Projected Unit Distribution, Program Year 2011		
Unit Tenure	Number of units to be assisted	Percent of all units to be assisted
Owner-occupied	3,526	35%
Renter-occupied	6,549	65%
Single-family rental	1,310	
Multi-family rental	5,239	

2.3 Sources of Labor and Funding

New York contracts with subgrantees to deliver the program services at the local level. These subgrantees have various systems in place to provide weatherization in their service areas. All subgrantees use in-house staff for some components of the program such as outreach, energy auditing, air sealing, or pre- and post-inspection. Many subgrantees use local subcontractors to perform some of the basic weatherization work, such as attic insulation, sidewall insulation, and window installation. Most subgrantees use subcontractors for heating

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system work, however, several subgrantees use in-house staff for heating system work. HCR has encouraged subgrantees to develop the capacity to perform heating system repairs with subgrantee staff, to assure quality heating system work and to reduce costs. HCR provides training on heating system work as part of the Program's technical assistance efforts. HCR also encourages subgrantees that assist substantial numbers of multi-family buildings to develop in-house capacity to perform multi-family audits.

Subgrantees may use volunteers to supplement weatherization activities. However, due to the technical nature of the program, the use of volunteers is generally restricted to non-technical areas.

SECTION 3 - PROGRAM IMPLEMENTATION

3.1 Public Hearings on the State Plan

2011 Public Hearing: Pursuant to 10 CFR Part 440.14 (1), HCR is required to hold a public hearing to receive comments on the proposed State Plan. Public hearings on the 2011 State Plan will be held on _____, 2011 at 1:30 PM. These hearings will be conducted by video conference with live feeds in HCR's Albany, Buffalo, Syracuse and New York City offices. A copy of the hearing notice is available at <http://www.nyshcr.org>.

Copies of the proposed State Plan were emailed to all current subgrantees and to other interested parties, and made available for inspection at the hearing locations and directly from Homes and Community Renewal, Weatherization Assistance Program, 38-40 State Street, Albany, New York 12207. The Plan is also available on the HCR web site at <http://www.nyshcr.org>. Comments on the plan will be accepted through _____, 2011.

3.2 Weatherization Contracts

For Program Year 2011, DHCR will amend or enter into new contracts with subgrantees to provide weatherization services. Contracts are divided into defined budget periods, referred to in the contract as "program years," and will include all current requirements for annual production, expenditure, closeout, and reporting. These contracts include both DOE and HEAP funds, with the source of each payment determined at the time of payment. The minimum number of units to be weatherized will be specified in the contract, based on an average cost per unit of \$6,500.

The minimum number of units to be completed by subgrantees during Program Year 2010 will be estimated using the following formula:

$$\frac{\text{total allocation} \times .905}{\text{maximum cost per unit}} = \text{approximate number of units}$$

Statewide, an average of 9.5 percent of each subgrantee's allocation is reserved for administrative and capital expenses, financial audits and liability insurance, leaving 90.5 percent available for actual weatherization work. For example, if a subgrantee is allocated \$375,000 and the maximum average cost per unit is \$6,500, the minimum number of units the subgrantee is required to complete in the program year is:

$$\frac{\$375,000 \times .905}{\$6,500 \text{ per unit}} = 52 \text{ units}$$

Each subgrantee will be allowed to use five percent of their allocation for administrative costs.

New York will provide training and technical assistance funds to subgrantees in annual contract amendments and, through separate agreements, to the Association for Energy Affordability and the New York State Weatherization Director's Association. New York may also issue a request for proposals for additional training and technical assistance during the

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program year. Subgrantees will also be allowed to use a portion of any program income earned locally for training and technical assistance, the purchase of diagnostic tools and equipment, and participation in workshops and conferences.

3.3 Leveraging

Subgrantees provide a variety of services for low-income clients as a part of their overall mission, and they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. DOE defines leveraging as the obtaining of additional program-targeted non-federal cash or in-kind contributions as a result of the Weatherization Program-funded activities.⁶ The term packaging refers to the combining of two or more sources of funds in a weatherized dwelling unit to expand the scope of services to a low-income client.

The Program works with other agencies to improve benefits to low-income clients through coordination of other funds and programs where possible. The following initiatives are ongoing:

- New York's owner investment policy is expected to generate more than \$5 million in owner investments during Program Year 2011.
- Subgrantees are expected to access other federal and State housing funds that can be used along with Program funds to provide comprehensive weatherization services, and additional repair and rehabilitation work. Whenever possible, subgrantees will work with HCR to target properties where WAP can be leveraged to preserve affordable housing.
- An interagency referral program has been established in conjunction with the New York State Office of Temporary and Disability Assistance, the State Office for the Aging, and local departments of social services and offices for aging. These agencies will be encouraged to continue to refer clients to the Program for priority service. This program reduces subgrantee overhead since some of the referred clients are considered categorically eligible, since they have already been determined eligible for other programs such as HEAP, and provides access to other programs administered by the two agencies.
- A number of subgrantees participating in the State's program have entered into agreements with local departments of social service to conduct emergency furnace replacement. When done as coordinated work, these leveraged funds received by local subgrantees for providing this service expand the scope of services to low-income households and provide for the reimbursement of labor and program support costs to supplement regular Program activities.
- HCR promotes packaging of weatherization with other funding sources such as public utilities, institutional non-profits, and local governments, as well as other federal and State funding sources.
- The New York State Energy Research and Development Authority (NYSERDA) administers a Systems Benefit Charge, which funds several efficiency programs that assist low-income households, and provides additional opportunities for subgrantees to leverage

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Program funding. Many subgrantees are participating in NYSERDA's Assisted Home Performance, Empower, and Multifamily Performance programs. These additional services include electric-reduction measures such as energy-efficient appliance replacement, lighting replacement and retrofits, electric domestic water heater measures, cooling usage reduction, energy-efficient motor replacement and retrofit, and energy education activities.

Subgrantees are in a unique position to be able to provide these services in a timely and efficient manner by incorporating these measures into weatherized households.

- HCR and NYSERDA are coordinating on an effort to identify and secure approval for new materials and practices that can be introduced into the Program. This ongoing collaborative effort helps facilitate a better understanding of the Program by NYSERDA building research and development staff, helps HCR staff identify opportunities to incorporate high-SIR techniques, and can support manufacturers and suppliers in New York State and elsewhere.
- NYSERDA also administers the Green Jobs New York (GJNY) program, which is just getting underway. GJNY is expected to provide additional opportunities for subgrantee participation and leverage of Program funds. HCR is on the GJNY Advisory Council.
- Part of each allocation of HEAP funds received by the State is reserved for the Weatherization Referral and Assistance Program, administered by the State Office for the Aging. HEAP funds are also available for weatherization referral and packaging programs administered by local departments of social services for HEAP eligible clients.

3.4 Updates to On-File Information

The DOE requires States to maintain certain information, such the type of work that will be done, and health and safety protocols, "on-file," to be updated when changes are made. Two such changes have been made this year.

3.4.a Priorities

Subgrantees are required to give priority for service to households with elderly persons, households with children under 18 years of age, households that include persons with disabilities, HEAP recipients with extremely high energy use or certain other high needs, and will be required to prioritize projects leveraging multiple state and federal affordable housing resources. Guidelines for providing service to priority clients are in the Policies and Procedures Manual.

All subgrantees will also be required to prioritize affordable housing properties assisted by HCR as a matter of policy in their regular, formula allocations. The HCR Offices of Finance and Development and Housing Preservation will develop a list of priority properties at the beginning of each year. The list will include properties with substantial rehab and energy improvement needs that are expected to close on financing and begin construction utilizing HCR resources during the Program Year. Most of these projects also meet the other HCR priorities (units are reserved for the elderly, for persons with disabilities or for families with children). HCR staff will provide assistance to subgrantees to coordinate implementation of these projects to ensure that contract expenditure deadlines are not compromised.

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Approximately 65 percent of the dwelling units weatherized will be renter-occupied. More than two-thirds of New York's income-eligible households live in rental units. During the past several years the State has made an effort to increase the proportion of rental units assisted through the Program. It is projected that of these rental units, approximately 20 percent will be in single-family (one- to four-unit) buildings and 80 percent will be in multi-family buildings.

DHCR will continue to coordinate services with the other State agencies operating energy programs to enhance benefits, use resources collectively and to provide cost-effective home weatherization services to as many households as possible. During the past year, DHCR and the Office of Temporary and Disability Assistance (OTDA) agreed to implement a policy to require subgrantees to target approximately 60% of units to be assisted to HEAP recipients that meet certain priority criteria. These criteria include households that have had emergency heating system assistance, pay a high portion of their income for heating costs, seniors who need assistance with daily living activities, and other high-need households.

3.4.b Historic Preservation

In late 2009 DOE notified States that Section 106 of the National Historic Preservation Act applies to Program activities. HCR has a strong commitment to preserving our State's historic resources, and has a close working relationship with the State Historic Preservation Office (SHPO). In February, 2010, HCR and SHPO entered into a program agreement to ensure that all weatherization projects are reviewed for impact on historic resources. Since then, more than 25,000 reviews have been conducted. HCR will continue this process in program year 2011-12.

3.4.c Health and Safety

In early 2011, DOE released updated guidance on health and safety protocols. HCR has long-established protocols designed to identify and correct, where allowed by DOE rules, health and life safety concerns in dwelling units being weatherized. Up to ten percent of the cost of materials allocated to DOE Program funds may be used to mitigate energy-related health and safety problems, although in practice HCR has found that actual health and safety costs incurred by subgrantees do not approach this level.

The following changes to the HCR Health and Safety Plan that is on file will be made beginning in Program Year 2011:

- Where health or safety hazards are identified, subgrantees must notify clients in writing and that a copy of that notice must be maintained in the client file. Clients must also be notified of the impact of the weatherization work that was performed on the health and safety hazards that were identified (for example, by providing clients with a copy of the lead clearance test for areas where lead hazards were identified).
- In limited cases, AHERA asbestos testing may be allowed if performed by a certified tester, and prior approval by the regional weatherization supervisor is obtained. Removal will generally only be permitted when cost-effective, and when encapsulation is not feasible. If not cost-effective, deferral may be required until other sources of funding have been identified to mitigate the hazard.

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- Lead paint testing costs will be allowed where necessary to protect the health and safety of occupants of units being assisted. Lead testing will require prior approval by the regional office field representative.
- HCR will ensure that all field staff conducting monitoring or inspection of assisted units receives Lead Safe Weatherization training and are provided the opportunity to become Certified Renovators. Monitoring staff will also be provided with training on OSHA procedures including Materials Safety Data Sheets.

SECTION 4 - TRAINING AND TECHNICAL ASSISTANCE

HCR combines rigorous field monitoring with an extensive training and technical assistance program to identify areas to improve work quality and delivery of program services and to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

Monitoring consists of visits to subgrantee offices and assisted units, and desk audits, where subgrantee performance reports and other information is reviewed. Regional supervisors and staff are required to closely monitor compliance with Program policies and procedures. Fiscal staff perform periodic monitoring, including reviews of financial statements, to assure compliance with all financial rules. Field staff are required to provide subgrantees with status reports throughout the year. These reports are valuable in early identification of subgrantee problems.

The monitoring process consists of monthly reporting by subgrantees, on-site visits by program and fiscal staff, and an annual evaluation of each subgrantee that reviews compliance with all program rules, energy audit procedures, crew operations, client interaction, and data collection and reporting. When problems are discovered, a corrective action plan is developed for areas needing improvement and the subgrantee is formally notified in writing of actions to be taken. The subgrantee then has the option of either accepting the decision or requesting an administrative review.

4.1 Training Structure

HCR will provide the following technical assistance to improve program operation:

Level I: Training of a basic nature covering all aspects of the program. Areas such as rules, regulations, policies, procedures, reports, data entry, and forms will be covered. This activity will be aimed at meeting and maintaining State and federal, program, fiscal, and technical standards. HCR will provide subgrantees with training and technical assistance on policies and procedures through assigned field staff and through a team of field trainers. Formal policies and procedures training will be provided annually and then followed up with field training visits to individual subgrantees. Subgrantees may also request individual training and technical assistance, directly from the Training and Technical Assistance (T&TA) supervisor.

Level II: Training of a specific nature on technical issues such as using the TIPS, TREAT, or EA-QUIP software, creating cost effective job work scopes, infrared thermography, heating system diagnostics, performing post inspections, managing crews and subcontractors, materials installation, air sealing, and pressure diagnostics. The goal of this training is to introduce or significantly improve the knowledge and expertise needed to successfully operate local programs. Formal training on technical issues will be provided throughout the year, and then followed up with field training visits to individual subgrantees.

Level III: HCR will use a portion of its T&TA funds to fund two technical support agencies. These agencies will provide a variety of training and technical support services, including peer-

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to-peer training activities, air monitoring of lead safe practices, energy savings analysis, and specialized training activities.

Level IV: HCR will distribute a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conferences, staff training, weatherization equipment, membership and subscriptions, computer/electronic media, data gathering and client education materials.

HCR utilizes field staff and technical service subgrantees to provide training to subgrantees on an ongoing basis. An important part of field visits to subgrantees is the evaluation of subgrantee needs for training. HCR also has staff who are specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees. In Program Year 2011 HCR will continue to work with the NYS Department of Labor to identify additional training and job development services to subgrantees, to further New York's Green Workforce Development goals.

4.2 Subgrantee Training

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During the performance of these monitoring visits, staff may observe areas where subgrantees need assistance. Where the staff member has the particular expertise required to provide assistance, such training will be incorporated into the visit. Staff may alternatively request the assistance of training and technical assistance staff.

A timely approach to training and technical assistance is important to the success of each subgrantee. Subgrantees experience a high level of staff attrition each year; new staff requires training in various aspects of the weatherization program. The majority of technical training takes place at subgrantee offices and in the field. Training in administrative and support functions is delivered from a centralized location.

Training is provided to subgrantees in the following areas:

- outreach and application procedures
- income documentation
- energy audit procedures
- record and file maintenance
- air sealing and pressure diagnostics
- insulation techniques
- health and safety
- OSHA requirements
- post inspection techniques
- reporting procedures

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- heating system testing and diagnostics
- heating system repairs and replacement
- coordination with other programs
- new employee training
- new weatherization director training
- quality control
- fiscal record keeping and reporting
- special non-traditional approaches to specific dwelling units

The following training topics are generally presented in a classroom or group setting at one or more locations:

- Policies and Procedures Manual changes
- Updates on general HCR program guidance and contract matters
- Program database and reporting requirements
- Updates on federal statutory and regulatory changes

HCR has developed comprehensive written training curricula in several areas that have been used for the training of subgrantee staff on a regular basis. As the need arises for training in additional areas, curricula will be developed to insure a comprehensive and uniform approach to the subject matter.

HCR will also provide subgrantees with required Lead Safe Worker Training. This training will be conducted by a contractor who is certified by EPA to provide training. All subgrantees will have the opportunity to send people to this training who will then become certified to supervise workers in performing weatherization-related work in a lead-safe manner.

4.3 Staff Training

The major emphasis of HCR staff training is to ensure uniform implementation of program policies and procedures. A portion of the T&TA funds is allocated to the salaries and fringe benefits of the field and training unit staffs. The remaining portion of the budget is allocated to travel, equipment, supplies and contractual services needed to provide training and technical assistance.

In addition to periodic staff meetings, conferences, workshops and other venues will be used to maintain and improve staff expertise. New York State government also provides an extensive training program for staff, funded from general state operations, on a variety of staff development, general administrative, and specialized topics. Staff are required to attend appropriate training to maintain the skills and knowledge needed to ensure quality program operation. During 2011, HCR will expand opportunities for staff training in areas such as advanced technical practices, lead-safe weatherization, program rules, administration and financial management.

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APPENDIX A - Policy Advisory Council

Catalano, Joan
Northfield Community LDC

Cherry, Richard (Secretary)
Community Environmental Center, Inc.

Cook, Paula
NYS Office of Temporary and Disability
Assistance

Desmond, Sarah
Housing Conservation Coordinators

Devito, Donna
NYS Department of Public Service

Eberhard, John (Chairperson)
Delaware Opportunities Inc.

Harlow, Denise
NYS Community Action Association

Hepinstall, David (Vice Chairperson)
Association for Energy Affordability, Inc.

Malcolm, Karen Myers
NYS Commission on Quality of Care and
Advocacy for Persons with Disabilities

Joseph, Anthony
NYS Department of Labor

Keraga, Kelvin
NYS Energy Research & Development
Authority

Kovarik, Tim
NYS Office for the Aging

Lowry, Barbara
Northern Manhattan Improvement Corp.

Pedrotti, Maureen
Community Development Corp. of Long
Island

Purcell, Patricia
NYS Department of State

Rice, Wendell
Bedford Stuyvesant Restoration Corp.

Sammons, Massimo
Cortland County CAP, Inc.

Seebachan, Barry
Bronx Shepherds Restoration Corporation

Stone, Andrew
NYS Weatherization Director's
Association

Yehle, Ray
People's Equal Action and Community
Effort, Inc.

Zales, JoAnn
National Grid

Appendix B: Allocation Formula

NYS WEATHERIZATION ASSISTANCE PROGRAM ALLOCATION FORMULA

COUNTY	INCOME-ELIGIBLE HOUSEHOLDS		DEGREE DAYS *		FINAL PERCENTAGE
	COUNTY	% NYS	COUNTY	% NYS	
ALBANY	22,028	1.4210	7,148	1.0182	1.7709
ALLEGANY	4,892	0.3156	7,871	1.1212	0.4331
BRONX	184,439	11.8982	4,901	0.6981	10.1666
BROOME	18,295	1.1802	7,134	1.0162	1.4679
CATTARAUGUS	7,672	0.4949	7,419	1.0568	0.6402
CAYUGA	6,202	0.4001	7,041	1.0030	0.4911
CHAUTAUQUA	13,298	0.8579	6,539	0.9315	0.9780
CHEMUNG	7,617	0.4914	7,134	1.0162	0.6112
CHENANGO	4,812	0.3104	7,326	1.0436	0.3965
CLINTON	7,210	0.4651	7,831	1.1155	0.6350
COLUMBIA	4,129	0.2664	6,748	0.9613	0.3134
CORTLAND	4,625	0.2984	7,637	1.0879	0.3973
DELAWARE	4,575	0.2951	7,327	1.0437	0.3770
DUTCHESS	13,569	0.8753	6,647	0.9469	1.0144
ERIE	79,343	5.1184	7,137	1.0167	6.3688
ESSEX	3,360	0.2168	8,426	1.2003	0.3184
FRANKLIN	4,744	0.3060	8,818	1.2561	0.4705
FULTON	5,006	0.3229	7,831	1.1155	0.4409
GENESEE	3,562	0.2298	6,648	0.9470	0.2663
GREENE	4,055	0.2616	7,646	1.0892	0.3487

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HAMILTON	522	0.0337	9,206	1.3114	0.0540
HERKIMER	6,554	0.4228	7,926	1.1291	0.5842
JEFFERSON	10,154	0.6550	7,635	1.0876	0.8719
KINGS	305,805	19.7275	4,902	0.6983	16.8599
LEWIS	2,498	0.1611	8,522	1.2140	0.2394
LIVINGSTON	3,905	0.2519	6,939	0.9885	0.3048
MADISON	4,697	0.3030	8,121	1.1568	0.4290
MONROE	50,870	3.2816	6,743	0.9605	3.8579
MONTGOMERY	4,930	0.3180	7,527	1.0722	0.4174
NASSAU	42,599	2.7481	5,488	0.7818	2.6294
NEW YORK	176,834	11.4076	4,900	0.6980	9.7454
NIAGARA	17,294	1.1156	6,748	0.9613	1.3125
ONEIDA	20,189	1.3024	7,634	1.0875	1.7334
ONONDAGA	36,665	2.3653	7,544	1.0746	3.1109
ONTARIO	5,533	0.3569	6,945	0.9893	0.4322
ORANGE	17,519	1.1302	6,079	0.8660	1.1978
ORLEANS	2,877	0.1856	6,546	0.9325	0.2118
OSWEGO	10,825	0.6983	6,745	0.9608	0.8212
OTSEGO	5,683	0.3666	7,723	1.1001	0.4936
PUTNAM	2,496	0.1610	6,081	0.8662	0.1707
QUEENS	177,492	11.4500	4,902	0.6983	9.7856
RENSSELAER	10,556	0.6810	7,045	1.0036	0.8364
RICHMOND	25,495	1.6447	4,908	0.6991	1.4073
ROCKLAND	11,483	0.7408	5,579	0.7947	0.7205
ST.LAWRENCE	11,014	0.7105	8,429	1.2007	1.0441
SARATOGA	9,567	0.6172	7,336	1.0450	0.7894

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SCHENECTADY	10,823	0.6982	7,151	1.0187	0.8705
SCHOHARIE	2,474	0.1596	7,428	1.0581	0.2067
SCHUYLER	1,576	0.1017	7,226	1.0293	0.1281
SENECA	2,477	0.1598	7,038	1.0026	0.1961
STEUBEN	8,772	0.5659	7,426	1.0578	0.7326
SUFFOLK	48,996	3.1607	5,265	0.7500	2.9013
SULLIVAN	6,433	0.4150	7,522	1.0715	0.5442
TIOGA	3,369	0.2173	7,236	1.0308	0.2742
TOMPKINS	9,409	0.6070	7,136	1.0165	0.7552
ULSTER	12,658	0.8166	6,447	0.9184	0.9178
WARREN	4,661	0.3007	8,034	1.1444	0.4212
WASHINGTON	4,371	0.2820	7,138	1.0168	0.3509
WAYNE	5,916	0.3816	6,647	0.9469	0.4423
WESTCHESTER	46,350	2.9900	5,690	0.8105	2.9662
WYOMING	2,468	0.1592	7,528	1.0724	0.2090
YATES	1,903	0.1228	6,942	0.9889	0.1486
TOTAL	1,550,145	100	7,020	61.9966	100

Income Eligible Population based on households at or below 150% of OMB poverty level (2000 census).

* Degree days = 100% of heating degree days and 10% of cooling degree days.

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Appendix C - Subgrantee Allocations		County		Subgrantee		2011 adjusted allocation (5)
County	Subgrantee	%	2011 formula allocation	% of Co.	2011 formula share	
Albany		1.7709	1,223,386			
	Albany Community Action Partnership			50.00	611,693	611,693
	Albany County Cooperative Extension			50.00	611,693	611,693
Allegheny (see Cattaraugus)		0.4331	299,197			
Bronx		10.1666	7,023,366			
	Association for Energy Affordability, Inc.			29.06	2,040,916	2,040,916
	Bronx Shepherds Restoration Corporation			36.63	2,572,617	2,572,617
	Northwest Bronx Community and Clergy Coalition			34.31	2,409,833	2,409,833
Broome (see Tioga)		1.4679	1,014,078	100.00		
Cattaraugus		0.6402	442,242			
	Cattaraugus Community Action Inc. (2) (3)			100.00	741,439	766,439
Cayuga	Cayuga-Seneca Community Action Inc.	0.4911	339,291	100.00	339,291	375,000
Chautauqua	Chautauqua Opportunities Inc.	0.9780	675,622	100.00	675,622	675,622
Chemung		0.6112	422,205			
	Economic Opportunity Program of Chemung and Schuyler Counties (2)			100.00	510,700	622,205
Chenango	Opportunities for Chenango, Inc.	0.3965	273,904	100.00	273,904	375,000
Clinton		0.6350	438,691			
	Joint Council for Economic Opportunity of Clinton and Franklin Counties			100.00	438,691	438,691
Columbia	Columbia Opportunities Inc.	0.3134	216,484	100.00	216,484	375,000
Cortland	Cortland County Community Action Program Inc.	0.3973	274,436	100.00	274,436	375,000
Delaware	Delaware Opportunities Inc.	0.3770	260,449	100.00	260,449	375,000
Dutchess	Dutchess County Community Action Agency, Inc.	1.0144	700,777	100.00	700,777	725,777
Erie		6.3688	4,399,774			
	Polish Community Center of Buffalo			16.50	725,963	725,963
	Neighborhood Housing Services of South Buffalo, Inc.			42.31	1,861,544	1,861,544

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	Supportive Services Corporation			41.19	1,812,267	1,812,267
Essex	Adirondack Community Action Programs, Inc.	0.3184	219,972	100.00	219,972	375,000
Franklin		0.4705	325,028			
	Franklin County (3)			100.00	325,028	400,000
Fulton		0.4409	304,586			
	Fulton/Montgomery Community Action (2)			100.00	592,906	592,906
Genesee (see Orleans)		0.2663	183,989			
Greene	Community Action of Greene County Inc.	0.3487	240,897	100.00	240,897	375,000
Hamilton (see Warren)		0.0540	37,338			
Herkimer (see Oneida)		0.5842	403,614			
Jefferson		0.8719	602,355			
	Community Action Planning Council of Jefferson County, Inc.			100.00	602,355	602,355
Kings		16.8599	11,647,264			
	Bedford Stuyvesant Restoration Corporation, Inc.			16.94	1,973,489	1,973,489
	Crown Heights Jewish Comm. Council			7.68	894,102	894,102
	Opportunity Development Association			19.58	2,280,895	2,280,895
	Peoples Firehouse Inc.			2.74	318,716	318,716
	Sunset Park Redevelopment Committee			17.29	2,013,894	2,013,894
	Community Environmental Center Inc.			35.77	4,166,250	4,166,250
	Los Sures Community Development Corporation (1)					
	Ridgewood Bushwick Senior Citizens Council (1)					
Lewis	Lewis County Opportunities Inc.	0.2394	165,402	100.00	165,402	375,000
Livingston	Livingston County Planning Department	0.3048	210,535	100.00	210,535	375,000
Madison	Stoneleigh Housing Inc.	0.4290	296,371	100.00	296,371	375,000
Monroe		3.8579	2,665,146			
	Action for a Better Community, Inc.			62.32	1,660,919	1,660,919
	Pathstone Corporation			37.68	1,004,227	1,004,227
Montgomery (see Fulton)		0.4174	288,320			
Nassau (see Suffolk)		2.6294	1,816,434			
New York		9.7454	6,732,369			
	Housing Conservation Coordinators			15.32	1,031,399	1,031,399

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	Northern Manhattan Improvement Corporation			56.10	3,776,859	3,776,859
	Harlem Community Development Corporation			28.58	1,924,111	1,924,111
Niagara	Niagara Community Action Program, Inc.	1.3125	906,727	100.00	906,727	906,727
Oneida		1.7334	1,197,493			
	Mohawk Valley Community Action Agency (2)			100.00	1,601,107	1,601,107
Onondaga		3.1109	2,149,114			
	People's Equal Action and Community Effort, Inc.			100.00	2,149,114	2,149,114
Ontario (see Wayne)		0.4322	298,565			
Orange		1.1978	827,461	0.00		
	Orange County Rural Development Advisory Council			50.00	413,730	413,730
	Regional Economic Community Action Program, Inc.			50.00	413,730	413,730
Orleans		0.2118	146,326			
	Community Action of Orleans and Genesee (2)			100.00	330,315	575,000
Oswego	Fulton Community Development Agency	0.8212	567,304	100.00	567,304	567,304
Otsego	Opportunities for Otsego Inc.	0.4936	341,012	100.00	341,012	375,000
Putnam (see Westchester)		0.1707	117,930			
Queens		9.7856	6,760,178			
	Hellenic American Neighborhood Action Council, Inc.			47.18	3,189,452	3,189,452
	Margert Community Corporation			29.00	1,960,452	1,960,452
	Community Environmental Center Inc.			23.82	1,610,274	1,610,274
Rensselaer	CEO for the Greater Capital Region, Inc.	0.8364	577,812	100.00	577,812	577,812
Richmond	Northfield Community LDC of Staten Island	1.4073	972,222	100.00	972,222	972,222
Rockland	Rockland Community Development Council	0.7205	497,757	100.00	497,757	497,757
St. Lawrence		1.0440	721,224			
	St. Lawrence County Community Development and Planning, Inc.			100.00	721,224	721,224
Saratoga		0.7894	545,339			
	Saratoga County Economic Opportunity Council, Inc. (2)			100.00	1,146,704	1,146,704
Schenectady (see Saratoga)		0.8705	601,365	100.00		
Schoharie	Schoharie County Community Action Program	0.2067	142,794	100.00	142,794	375,000
Schuyler (see Chemung)		0.1281	88,495	100.00		

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Seneca	Seneca County Office for the Aging	0.1961	135,471	100.00	135,471	375,000
Steuben		0.7326	506,100			
	Pro Action of Steuben and Yates Inc. (2)			100.00	608,743	706,100
Suffolk		2.9013	2,004,297			
	Community Development Corporation of Long Island Inc. (2)			100.00	3,820,731	3,820,731
	Antioch Housing Development Fund Corporation (1)					
Sullivan	Sullivan County Commission to Help the Economy, Inc.	0.5442	375,970	100.00	375,970	375,000
Tioga		0.2742	189,411			
	Tioga Opportunities Program Inc. (2)			100.00	1,203,490	1,214,078
Tompkins	Tompkins County Economic Opportunity Corporation	0.7552	521,680	100.00	521,680	521,680
Ulster	Ulster Community Action Committee Inc.	0.9178	634,058	100.00	634,058	634,058
Warren	Warren/Hamilton Counties ACEO Inc. (2)	0.4212	290,949	100.00	328,287	575,000
Washington	Washington County Economic Opportunity Council	0.3509	242,411	100.00	242,411	375,000
Wayne	Wayne County Action Program Inc. (2)	0.4421	305,415	100.00	603,980	603,980
Westchester		2.9662	2,049,132			
	Westchester Community Opportunity Program Inc. (2)			100.00	2,167,063	2,249,132
Wyoming	Wyoming County Community Action Inc.	0.2090	144,355	100.00	144,355	375,000
Yates (see Steuben)		0.1486	102,643			
Total allocated by formula:		100	69,082,738			72,134,622
Technical Service Subgrantees			1,000,000		1,000,000	
	New York State Weatherization Directors Association (4)					500,000
	Association for Energy Affordability (4)					500,000
TOTAL		100	70,104,613		70,104,613	73,134,622

- (1) Organizations with Community Partnership Agreements providing outreach, intake, and client education for a subgrantee.
- (2) Service area includes more than one county
- (3) Adjusted allocation includes additional funds for service to Native American Reservations.
- (4) Allocations to technical service subgrantees are based on anticipated subgrantee training and technical assistance needs.
- (5) Includes additional funds necessary to provide minimum funding and dual county allocation.