

New York State Weatherization Assistance Program

Program Year 2013 State Plan
April 1, 2013 – March 31, 2014

Draft for Public Comment

New York State Homes and Community Renewal
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Weatherization Assistance Program Draft 2013-14 State Plan

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Executive Summary

The New York State Weatherization Assistance Program Plan for Program Year 2013-14 serves as New York's application to the US Department of Energy for Weatherization funds, and the guide for allocation of more than \$45 million in Federal residential energy conservation funding. These funds will provide assistance to more than 6,200 households across the State. The program is administered by New York State Homes and Community Renewal (HCR), which has primary responsibility for the State's housing and community renewal programs. HCR is uniquely positioned to deliver Weatherization services, in coordination with other State and local partners.

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 helps to reduce national energy consumption, reduces carbon emissions that contribute to climate change, and lessens the impact of higher energy costs on low-income families. The program also improves the health and safety of assisted households.

New York relies on a network of 60 subgrantees with expertise in energy conservation. Subgrantees provide energy conservation services using their own trained crews and by subcontracting work to qualified contractors. Energy conservation measures funded through the program range from air sealing and insulating single-family 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 group homes. Program services are provided in each of the State's 62 counties.

Low-income households in New York have significant need for this assistance. 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 unsafe or dilapidated housing that was built when energy was cheap and plentiful. Additionally, New York's aging housing stock means that many low-income households pay 15% or more of their income for utility costs - a condition known as "fuel poverty."

HCR will distribute Program funding in 2013 in accordance with this plan. 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 for assisted buildings.

Section Two provides the proposed allocation of funds for Program Year 2013-14, 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 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

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intended to promote leveraging of other funds for conservation activities. Section Four documents the training and technical assistance activities that are provided to subgrantees.

The Weatherization Assistance Program provides significant contributions to the State's economy, saves energy, and improves the lives of low-income residents. 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. The health and safety benefits provided by program administrators – installing carbon monoxide detectors, correcting conditions that may allow dangerous mold to grow in assisted units, or replacing unsafe heating systems that could cause a fire – can save lives. In partnership with 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 2013-14 Program Year.

On October 29th and 30th, 2012, Super Storm Sandy devastated parts of New York. HCR's Weatherization Program subgrantees are actively involved in the recovery efforts to restore several communities to pre-storm functionality. HCR recently was notified by DOE that DOE will extend the term of availability of certain funds, so that HCR can direct those funds to storm relief. HCR encourages DOE to provide maximum flexibility to States so that the Weatherization network can be utilized to respond to this unprecedented event.

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 575,000 dwelling units 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 households with high fuel costs in relation to their household income, and to properties where other state and Federal housing resources are leveraged. This year, given the tremendous number of low-income households impacted by Superstorm Sandy, households that are located in the disaster area will also be considered a priority, provided they are otherwise eligible, meet one of the priorities listed above, and have needs that will exceed any compensation available from insurance settlements or other aid intended to offset losses incurred in the disaster.

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. Subgrantee performance 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 maintain a high level of quality.

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 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.

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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 agendas 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. HCR may also consider designating one or more subgrantees to provide specialized program services, such as work on multi-family buildings, in areas where existing subgrantees do not have the capacity to successfully complete that type of work.

1.1.d Funding for the 2012-2013 Program Year

For the 2012-2013 program year, New York received \$71.3 million to administer the Weatherization Program, the Emergency Cooling Initiative and energy-related disaster relief. This included \$14.1 million in DOE funds and \$57.2 million of US Department of Health and Human Services Low Income Home Energy Assistance Program (HEAP) funds, and recaptured funds carried forward from prior years.

1.1.e Funding for the 2013-2014 Program Year

New York anticipates availability of \$45.5 million to continue the Program. This amount includes \$6.0 million in DOE funds and \$37.5 million of new HEAP funds (These amounts are based upon preliminary budget information from the Federal government, and are subject to change). An additional \$2 million in prior year HEAP funds will also be available for the 2013-14 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 work associated with their Program Year 2012 allocation. The minimum allocation for each county will be set at \$250,000 for subgrantees serving an entire county, and \$550,000 for subgrantees

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serving two or more counties. The Program Year will begin April 1, 2013 and end March 31, 2014.

1.2 Estimate of the Energy Cost to be Saved

With its cold winters and high energy costs, New York State exceeds the national average in both energy consumption per household and energy expenditures per household. In 2005, State residents expended, on average, \$2,409 per household on energy costs, compared to a national average of \$1,810¹. Low-income households spend more than 10 percent of household income, on average, for heating and other energy expenditures, compared with just 3.3 percent for all households². Together, these data mean that both that needs within the State are greater and that there are more opportunities for low-income households to benefit from installation of weatherization measures than in many other states.

DOE requires states to provide an estimate of the energy costs that can be expected from the program, based on an algorithm that DOE provides; this is summarized in the chart below³.

Estimated Energy Savings		
Source of Funds	DOE Funds Only	All Funds
Amount available	\$6,000,000	\$45,551,000
Average savings per unit	31.7 mmBtu	31.7 mmBtu
Value of savings per unit	\$657	\$657
Units to be weatherized	823	6,908
First-year savings, mmBtu	26,109	219,273
First-year savings, 2012 dollars	\$540,435	\$4,538,835
Savings after 15 years, mmBtu	391,631	3,289,094
Savings after 15 years, 2012 dollars	\$8,106,532	\$68,082,373
Average cost per unit	\$6,200	\$6,200
Benefit/cost ratio	1.35	1.35

The US Department of Energy has contracted with Oak Ridge National Laboratory (ORNL) to undertake an evaluation of the Weatherization program to determine average energy savings in assisted units. Data collection for that study was completed in 2011, but the results have only partially been released. As of this date, results specific to New York State were not available. However, the results that have been released show that the program is most effective in cold climates like New York's, and that providing weatherization assistance to large multifamily buildings in New York City also can be expected to provide substantial

1. US Energy Information Administration, "2005 Residential Energy Consumption Survey: Energy Consumption and Expenditures Tables."

2. US Energy Information Administration, "Weatherization Assistance Program Technical Memorandum Background Data and Statistics," March 2010

3. "All funds" includes estimated leveraged funds; in the "DOE Funds Only" column, "Units to be weatherized" is an estimate of the number of units that would be assisted if DOE funds were the only available funding source. "Savings after 15 years" is in 2012 dollars, and assumes 3% drop-off in savings per year.

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savings. The study shows that “whole-house” weatherization of gas-heated buildings in cold climate states can be expected to reduce gas usage by 24% when heating system work is not included, and 38% when heating systems are replaced. The multifamily study found savings of more than \$263 per unit annually in gas-heated buildings, and more than twice that amount in oil-heated buildings.

Other studies, including a 2010 study of assisted multifamily buildings in New York City sponsored by Deutsche Bank⁴ (which included a large number of buildings assisted by the Program), have found savings in excess of 20%, compared to baseline levels. Since multifamily buildings account for more than half of the units our program assists each year, these data are encouraging. Together, these findings suggest that in New York State, the DOE algorithm (and so, the data included in the table on the preceding page) significantly underestimate the actual savings that accrue from New York’s program.

Section 2 - Funding and Production

2.1 Allocation of Funds

HCR expects \$45,551,423 to be available to support Program activities in Program Year 2013. The DOE Program allocation from Federal Fiscal Year 2012-13 is expected to be approximately \$6,000,000. HCR also expects to receive \$37,551,423 in HEAP funds, which is 10% of the allocation received by New York State. In addition, \$2,000,000 in prior year funds will be available in Program Year 2013-14, for a total of \$39,551,423 in HEAP funds.

The funding sources are summarized below:

DOE Funds	\$ 6,000,000
HEAP Funds, prior year	2,000,000
<u>HEAP Funds, current year</u>	<u>37,551,423</u>
Total Available	\$ 45,551,423

Up to \$2,800,000 in DOE and HEAP funding will be retained by HCR for administrative, leveraging and training and technical assistance costs, including \$750,000 of the DOE allocation.

The balance of \$42,751,423 will be available for allocation to subgrantees and for technical assistance to subgrantees, as described below. HCR has determined that the existing subgrantee network is adequate to deliver the program described in this Plan, and does not anticipate the addition of any new subgrantees this year, primarily due to the limited funding available. HCR may designate one or more subgrantees to provide specialized program services, such as work on multi-family buildings, in areas where existing subgrantees do not have the capacity to successfully complete that type of work. Subgrantee and technical assistance allocations are listed in Appendix C.

4. “The Benefits of Energy Efficiency in Multifamily Affordable Housing,” Deutsche Bank Americas Foundation web site, January 10, 2011 http://www.db.com/usa/content/en/ee_in_multifamily_underwriting.html

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2.1.a 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 low-income 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 $1/10^{\text{th}}$ 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 yield a percentage. This ratio of each county's degree days to the State 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 low-income households as a percentage of all such households in the State. This number of income-eligible households was determined by using 2010 American Community Survey data from the US Census Bureau for households with 2010 estimated incomes below \$35,000. This figure was then divided by the total number of such households in the State to yield a percentage of the total low-income households for each county.

These two factors, the percentage of low-income 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 1.191554, 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 \$38,528,423 (the amount available for allocation by formula after setting aside funds for technical support subgrantees, for competitive set-asides, 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 low-income households 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 fewer income-eligible households than other New York counties. Thirty counties in New York generate an allocation of less than \$250,000. For Program Year 2013-14, subgrantees serving a single county with a formula allocation of less than \$250,000 will receive an allocation of \$250,000.

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HCR finds that it is an efficient practice for subgrantees to administer the program in multiple counties, when one of the counties has a small population. Subgrantees serving all of two or more counties, where one of the counties is below the minimum funding level, will receive an allocation equal to the greater of \$550,000, **or**, the sum of the largest county allocation in the multiple-county area and \$300,000 for each county that has an allocation of less than \$250,000.

As a result of the establishment of these minimum allocations, 14 subgrantees that serve a single county will be funded at the minimum allocation level, and 13 subgrantees that serve multiple counties will receive adjusted allocations.

The formula factors that are used to determine allocations have been calculated using 2010 US Census Bureau data from the American Communities Survey. HCR received assistance in updating this data from the Cornell University Institute for Social and Economic Research.⁵ This update reflected changes in the low-income population in several counties, compared to 2000.

Allocations to individual subgrantees will be subject to a review of each subgrantee's production and expenditures during the 2013-14 Program Year and adjusted downward or incrementally funded where HCR determines that the initial allocation may exceed subgrantee capacity. Subgrantees that do not show adequate monthly progress in expenditures and unit production will not be eligible to access any additional funds that become available during the program year, and may be subject to reduced allocations in future years.

2.1.b Criteria for Funding: Existing Subgrantees, New Subgrantees

Existing subgrantees generally receive funding each year unless the subgrantee withdraws, or HCR monitoring of the subgrantee indicates serious, irresolvable problems. HCR program and fiscal monitoring examines the overall compliance of subgrantees with regard to expenditure of grant funds, production, work quality, and compliance with Federal and State laws, regulations, policies, and procedures. When serious concerns arise, a determination is made regarding the subgrantee's ability to continue providing weatherization services.

When HCR determines that additional subgrantees are needed, selection of a new subgrantee is based on a proposal submitted to HCR, which is evaluated by program and fiscal staffs, as well as testimony offered at a public hearing in accordance with 10 CFR Part 440.15(d). In accordance with these minimum guidelines, a potential new subgrantee must:

- be a not-for-profit, legally incorporated organization, or a unit of local government, or the designated representative of an Indian tribal organization;
- if a not-for-profit organization, meet the charities registration requirements of the State of New York;
- be in legal and financial compliance with requirements and regulations established under State and Federal law;

5. HCR would like to express gratitude to Dr. Warren A. Brown of the Institute for Social and Economic Research for his invaluable assistance in this effort.

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- provide a list of the current board of directors or governing body, bylaws and other documents concerning the structure and operation of the organization;
- provide proof that the organization has been responsive to the needs of the community by citing the programs and services in the energy or human services area that it has implemented; or, be able to demonstrate that the organization has the potential to provide such services in an efficient and responsible manner;
- demonstrate special expertise for providing energy conservation programs including management capability, technical skills, outreach capabilities, etc.;
- show experience in housing and construction management-oriented programs;
- submit a detailed budget and narrative work plan showing how the project will be carried out. The budget should list all personnel, including volunteer and paid staff, who will be associated with the program. The work plan will detail how the project will be implemented. Potential weatherization subgrantees must also show a production and expenditure plan, specifying whether subgrantee crews, subcontractor or a combination of the two will be used. New subgrantees will be expected to meet or exceed the work plan goals they propose; and,
- document that the current service area is not being adequately served by an existing subgrantee. Documentation must include an explanation of how the prospective new subgrantee would correct the problem(s) identified and documented.

In accordance with 10 CFR Part 440.15, the State is required to give preference to existing subgrantees that are currently administering an effective program. Additional consideration is given to subgrantees that are located adjacent to a service area that is in need of a service provider. This allows for expansion of existing experienced subgrantees and provides for an economy of scale regarding administrative structural costs.

Two subgrantees have recently withdrawn from the program. Comlinks, Inc., served Franklin County, which will now be assigned to Joint Council for Economic Opportunity of Clinton and Franklin Counties, the weatherization subgrantee that administers the program in adjacent Clinton County. Livingston County Planning Department, which served Livingston County, notified HCR in November that they do not intend to continue in the program. Livingston County will now be covered by Wyoming County Community Action, an existing subgrantee that serves adjacent Wyoming County. In addition, PEACE, Inc., which last year was assigned temporary responsibility for the Oswego County service area, will assume on-going responsibility for both Onondaga and Oswego Counties.

2.2 Dwelling Unit Information

During Program Year 2013-14, HCR expects to weatherize 6,221 dwelling units with HEAP and DOE 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 approximately \$6,200. On average, units assisted by the Program will receive \$819 in DOE funds and \$5,401 in HEAP funds. This approach will ensure that New York is in compliance with 10 CFR Part 440.18 for the expenditure of DOE funds, and that assisted units will not receive more in DOE funding than the revised expenditure limit of \$6,769. Subgrantees will be allowed to use up to 10% of the average CPU to address health and safety deficiencies in assisted units.

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HCR permits subgrantees to assist shelters and group homes; in those buildings, the CPU is calculated 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 2012			
Unit Tenure	Number of units to be assisted		Percent of all units to be assisted
Owner-occupied	2,177		35%
Renter-occupied	4,044		65%
Single-family rental	809		
Multi-family rental	3,235		

2.3 Sources of Labor

New York contracts with subgrantees to deliver 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 subcontractors to perform some of the basic weatherization work, such as attic insulation, sidewall insulation, and window installation. Most subgrantees use subcontractors for heating system work, however, several 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.

Article 15-A of New York State Executive Law was enacted to promote equal opportunity in contracting for all persons, without discrimination for minority group members and women and business enterprises owned by them, and to eradicate the barriers that have impaired access by minority and women-owned business enterprises to State contracting opportunities. Governor Cuomo has reaffirmed the State's commitment to this law, and has directed State agencies to take affirmative action's to provide opportunities for minority- and woman-owned business enterprises. Participation goals have been adopted to ensure the opportunity for meaningful participation of minority and women-owned business enterprises in the work to be undertaken by each subgrantee. These goals are expressed as a percentage of the total value of all work under each contract. HCR staff will monitor the progress of each subgrantee in meeting these goals, and will provide technical assistance, as necessary, to maximize compliance with the law.

Section 3 - Program Implementation

3.1 Public Hearings on the State Plan

2012 Public Hearing: Pursuant to 10 CFR Part 440.14 (1), HCR will follow a public process to receive input on the proposed State Plan. A public hearing on the 2013-14 State Plan will be held on January 23, 2013, from 1:30 to 3:30 PM. The hearing will be conducted by video conference to enable speakers to present testimony from HCR's Albany, Buffalo, Syracuse and New York City offices. A copy of the hearing notice will be widely distributed, and made available at <http://www.nyshcr.org>.

Copies of the proposed State Plan will be electronically mailed 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 will also be available on the HCR web site at <http://www.nyshcr.org>. Comments on the plan will be accepted for approximately two weeks following the hearing.

3.2 Weatherization Contracts

For Program Year 2013-14, HCR 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. Program Year 2013-14 coincides with the final budget period of the current five-year subgrantee contracts. HCR will enter into new contracts with subgrantees prior to the start of the 2014-15 program year.

The minimum number of units to be weatherized will be specified in the contract with each subgrantee, based on an average cost per unit not to exceed \$6,500.

The minimum number of units to be completed by subgrantees 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 \$500,000 and the subgrantee projects an average cost per unit is \$6,200, the minimum number of units the subgrantee is required to complete in the program year is 73:

$$\frac{\$500,000 \times .905}{\$6,200 \text{ per unit}} = 73 \text{ units}$$

Each subgrantee will be allowed to use five percent of their allocation for administrative costs. Subgrantees with allocations less than \$350,000 may be allowed to retain six percent of their allocation for administrative costs.

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HCR 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. HCR may also issue a request for proposals for additional training and technical assistance during the 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 Super Storm Sandy Disaster Relief

October 29th and 30th, 2012, Super Storm Sandy devastated parts of New York and its Weatherization Program subgrantees are actively involved in the recovery efforts to restore several communities to pre-storm functionality. HCR has obtained approval from DOE to extend the term of availability of certain funds that will be directed to storm relief. HCR encourages DOE to provide maximum flexibility to States so that the Weatherization network can be utilized to respond to this unprecedented event.

Subgrantees that serve areas that have been designated as federal disaster areas will be required to prioritize service to buildings occupied by disaster victims. In some cases, subgrantees covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the subgrantee that primarily serves that area. HCR will request additional flexibility from DOE to help New York's communities recover from this unprecedented event.

3.4 Leveraging and Coordination with Other Programs

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 guidance permits grantees to use a portion of the grant to undertake leveraging activities, to generate additional non-Federal resources for Weatherization. HCR intends to use Program funds for this purpose.

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 supplements weatherization with a transfer of a portion of its allocation of Low-Income Home Energy Assistance Program (HEAP) funding. In program year 2013-14, HEAP funds are expected to provide more than 80 percent of the funding for the Weatherization Assistance Program in New York.
- 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 Program funding. Many subgrantees are participating in NYSEDA'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. NYSEDA

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also administers the Green Jobs New York (GJNY) program, which uses proceeds from the Regional Greenhouse Gas Initiative to provide additional opportunities for subgrantee participation and leverage of Program funds. HCR is represented on the GJNY Advisory Council.

- Although mandatory owner contributions are not considered leveraged funds by DOE, New York's owner investment policy is expected to generate more than \$5 million in owner investments during Program Year 2013-14.
- 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 (OTDA), the State Office for the Aging, and local departments of social services and area aging agencies. These agencies will be encouraged to continue to refer clients to subgrantees 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.
- During the 2013-14 Program Year, HCR intends to more closely coordinate with OTDA on emergency furnace replacement for LIHEAP clients in "no-heat" situations. This work may be conducted by subgrantees, and could expand the scope of services to low-income households, to provide additional opportunities to reduce heating expenditures and address health and safety concerns for this population.
- HCR may also administer an emergency cooling program with LIHEAP funds, coordinated with OTDA, if funding becomes available for this purpose. It has administered this program in past years. This initiative will combine energy efficiency services with health and safety interventions to reduce the impacts of hot weather on vulnerable populations.
- HCR promotes packaging of weatherization with other funding sources such as public utilities, foundations, other non-profits, and local governments, as well as other Federal and State funding sources.
- 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.
- HCR has initiated an enhanced health and safety effort to promote coordination between Program subgrantees, state and local health departments and administrators of housing rehabilitation and lead hazard control programs. This initiative, aligned with the national "Weatherization Plus Health" initiative, is expected to provide additional benefits to assisted households and may provide additional funding opportunities for subgrantees.

3.5 Updates to On-File Information - Health and Safety

In 2011, DOE issued notices WPN 11-06 and WPN 11-06A, which addressed certain health and safety requirements associated with the program. HCR's existing policies already complied with most of the requirements of these two notices. Other requirements are addressed below.

3.5.a Addressing Mold and Moisture

Subgrantees are required to inspect each unit for the presence of mold or other moisture-related issues. If mold or moisture issues are found the subgrantee must notify occupants and either defer work or develop an acceptable corrective action plan. Training is provided to all subgrantee staff and grantee field staff on mold and moisture issues. More detail on subgrantee training is provided below.

3.5.b Ventilation

HCR is evaluating actions needed to comply with ASHRAE 62.2 requirements for ventilation and indoor air quality and will take necessary steps to comply with this requirement, including providing additional training to staff and subgrantees during 2013-14. HCR will attempt to balance these requirements with the need to maximize energy savings in assisted units and provide recipients with sustainable installations that they will be able to maintain in future years.

Section 4 - Training, Technical Assistance and Monitoring

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.

4.1 Training and Technical Assistance

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

Level I: Classroom and individual training 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 this training and technical assistance through assigned field staff and through a team of field trainers. Subgrantees may also request individual training and technical assistance by contacting their assigned representative.

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

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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-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.

4.2 Coordination of Monitoring and Technical Assistance

HCR utilizes field staff and technical service subgrantees as a quality assurance strategy. Field staff conduct an annual evaluation of each subgrantee's training needs. HCR also has staff who are specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees.

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During 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. When the subgrantee's needs can't be met by field staff, HCR training and technical assistance staff may provide the assistance.

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, usually at their offices or at project sites, in the following areas:

- Outreach and application procedures
- Income documentation
- Energy audit procedures
- Record and file maintenance and reporting
- Air sealing and pressure diagnostics
- Insulation techniques
- Health and safety
- OSHA requirements
- Post inspection techniques and quality control
- Heating system testing and diagnostics
- Heating system repairs and replacement

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- Coordination with other programs
- New employee training
- New weatherization director training
- 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
- 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 Subgrantee Monitoring

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 review subgrantee production status throughout the year. This information aids 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. A minimum of 10% of assisted units are inspected, with a goal of inspecting 20% of units that each subgrantee completes.

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. During 2013-14, HCR plans to supplement its monitoring practices in accordance with DOE notice WPN 12-5. Also, HCR is developing a new process to more carefully track monitoring results, which will be implemented for use during the 2013-14 program year. This process will improve HCR's annual monitoring function, and will provide data on subgrantee performance, work quality and compliance that HCR can use in future funding decisions, and to improve program effectiveness in general.

APPENDIX A - Policy Advisory Council

Brennan, Charles
Attorney at Law

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

Cook, Paula
NYS Office of Temporary and Disability
Assistance

Desmond, Sarah
Housing Conservation Coordinators

Eberhard, John (Chairperson)
Delaware Opportunities Inc.

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

Savoie, Amy
NYS Department of Labor

Katz, Elizabeth
NYS Department of Public Service

Keraga, Kelvin
NYS Energy Research & Development
Authority

Kovarik, Tim
NYS Office for the Aging

Maher, Layna
NYS Commission on Quality of Care and
Advocacy for Persons with Disabilities

Lowry, Barbara
Northern Manhattan Improvement Corp.

Pedrotti, Maureen
Community Development Corp. of Long
Island

Rice, Wendell
Bedford Stuyvesant Restoration Corp.

Sammons, Massimo
Cortland County CAP, Inc.

Stone, Andrew
NYS Weatherization Directors'
Association

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

Zales, JoAnn
National Grid

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Appendix B: Allocation Formula					
New York State Weatherization Assistance Program Allocation Formula					
County	Income-Eligible Households		Degree Days *		Allocation Percentage
	County Total	Share of State Total	County Total	Index	
Albany	38,906	1.6467	7,148	1.0182	1.9979
Allegany	8,009	0.3390	7,871	1.1212	0.4529
Bronx	239,738	10.1471	4,901	0.6981	8.4412
Broome	32,509	1.3760	7,134	1.0162	1.6662
Cattaraugus	13,524	0.5724	7,419	1.0568	0.7208
Cayuga	11,669	0.4939	7,041	1.0030	0.5903
Chautauqua	24,126	1.0212	6,539	0.9315	1.1334
Chemung	14,512	0.6142	7,134	1.0162	0.7438
Chenango	7,633	0.3231	7,326	1.0436	0.4017
Clinton	11,725	0.4963	7,831	1.1155	0.6596
Columbia	7,847	0.3321	6,748	0.9613	0.3804
Cortland	6,720	0.2844	7,637	1.0879	0.3687
Delaware	8,115	0.3435	7,327	1.0437	0.4272
Dutchess	25,413	1.0756	6,647	0.9469	1.2136
Erie	143,512	6.0743	7,137	1.0167	7.3584
Essex	5,910	0.2501	8,426	1.2003	0.3578
Franklin	7,972	0.3374	8,818	1.2561	0.5050
Fulton	9,519	0.4029	7,831	1.1155	0.5355
Genesee	8,202	0.3472	6,648	0.9470	0.3917
Greene	6,857	0.2902	7,646	1.0892	0.3767
Hamilton	788	0.0334	9,206	1.3114	0.0521
Herkimer	11,071	0.4686	7,926	1.1291	0.6304
Jefferson	17,335	0.7337	7,635	1.0876	0.9509
Kings	377,874	15.9938	4,902	0.6983	13.3077
Lewis	4,253	0.1800	8,522	1.2140	0.2604
Livingston	7,763	0.3286	6,939	0.9885	0.3870
Madison	8,670	0.3670	8,121	1.1568	0.5058
Monroe	101,710	4.3050	6,743	0.9605	4.9272
Montgomery	8,311	0.3518	7,527	1.0722	0.4494
Nassau	74,151	3.1385	5,488	0.7818	2.9236
New York	232,665	9.8477	4,900	0.6980	8.1905
Niagara	34,135	1.4448	6,748	0.9613	1.6548
Oneida	35,359	1.4966	7,634	1.0875	1.9393
Onondaga	64,924	2.7480	7,544	1.0746	3.5188
Ontario	13,088	0.5540	6,945	0.9893	0.6530

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Orange	30,347	1.2845	6,079	0.8660	1.3253
Orleans	5,779	0.2446	6,546	0.9325	0.2718
Oswego	17,635	0.7464	6,745	0.9608	0.8546
Otsego	9,839	0.4164	7,723	1.1001	0.5459
Putnam	5,659	0.2395	6,081	0.8662	0.2472
Queens	244,408	10.3448	4,902	0.6983	8.6074
Rensselaer	20,253	0.8572	7,045	1.0036	1.0251
Richmond	41,756	1.7674	4,908	0.6991	1.4723
Rockland	20,567	0.8705	5,579	0.7947	0.8243
St. Lawrence	17,399	0.7364	8,429	1.2007	1.0536
Saratoga	21,274	0.9004	7,336	1.0450	1.1212
Schenectady	18,837	0.7973	7,151	1.0187	0.9677
Schoharie	4,294	0.1817	7,428	1.0581	0.2291
Schuyler	2,769	0.1172	7,226	1.0293	0.1437
Seneca	4,906	0.2077	7,038	1.0026	0.2481
Steuben	16,175	0.6846	7,426	1.0578	0.8629
Suffolk	86,799	3.6738	5,265	0.7500	3.2832
Sullivan	11,024	0.4666	7,522	1.0715	0.5957
Tioga	6,605	0.2796	7,236	1.0308	0.3434
Tompkins	13,960	0.5909	7,136	1.0165	0.7157
Ulster	20,800	0.8804	6,447	0.9184	0.9634
Warren	9,823	0.4158	8,034	1.1444	0.5670
Washington	8,614	0.3646	7,138	1.0168	0.4417
Wayne	12,047	0.5099	6,647	0.9469	0.5753
Westchester	77,598	3.2844	5,690	0.8105	3.1721
Wyoming	5,359	0.2268	7,528	1.0724	0.2898
Yates	3,582	0.1516	6,942	0.9889	0.1786
Entire State	2,362,623	100.0000	7,020	61.9966	100.0000
Income Eligible Population based on 2010 American Community Survey data on distribution of low-income households					
* Degree days = 100% of heating degree days and 10% of cooling degree days.					

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Appendix C - Program Year 2013-14 Subgrantee Allocations		County		Subgrantee		2013-14 Adjusted Allocation (1)
County	Subgrantee	Allocation Factor	Formula Allocation	Percent of County	2013-14 Formula Share	
Albany		1.9979	769,776			
	Albany Community Action Partnership			49.81	383,426	383,426
	Albany County Cooperative Extension			50.19	386,351	386,351
Allegany (see Cattaraugus)		0.4529	174,490			
Bronx		8.4412	3,252,258			
	Association for Energy Affordability, Inc.			28.16	915,956	915,956
	Bronx Shepherds Restoration Corporation			37.78	1,228,840	1,228,840
	Northwest Bronx Community and Clergy Coalition			34.05	1,107,462	1,107,462
Broome (see Tioga)		1.6662	641,948			
Cattaraugus	Cattaraugus Community Action Inc. (2) (3)	0.7208	277,724	100.00	452,215	602,724
Cayuga	Cayuga-Seneca Community Action Inc.	0.5903	227,421	100.00	227,421	250,000
Chautauqua	Chautauqua Opportunities Inc.	1.1334	436,677	100.00	436,677	436,677
Chemung	Economic Opportunity Program of Chemung and Schuyler Counties (2)	0.7438	286,565	100.00	341,949	586,565
Chenango	Opportunities for Chenango, Inc.	0.4017	154,784	100.00	154,784	250,000
Clinton	Joint Council for Economic Opportunity of Clinton and Franklin Counties (2)	0.6596	254,152	100.00	448,733	554,152
Columbia	Columbia Opportunities Inc.	0.3804	146,569	100.00	146,569	250,000
Cortland	Cortland County Community Action Program Inc.	0.3687	142,055	100.00	142,055	250,000
Delaware	Delaware Opportunities Inc.	0.4272	164,580	100.00	164,580	250,000
Dutchess	Dutchess County Community Action Agency, Inc.	1.2136	467,568	100.00	467,568	467,568
Erie		7.3584	2,835,093			
	Lt. Col. Matt Urban Human Services Center, Inc.			12.81	363,175	363,175
	Neighborhood Housing Services of South Buffalo, Inc.			32.85	931,328	931,328
	Supportive Services Corporation			54.34	1,540,590	1,540,590
Essex	Adirondack Community Action Programs, Inc.	0.3578	137,839	100.00	137,839	250,000

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County	Subgrantee	Allocation Factor	Formula Allocation	Percent of County	2013-14 Formula Share	2013-14 Adjusted Allocation (1)
Franklin (see Clinton)		0.5050	194,581			
Fulton	Fulton/Montgomery Community Action (2)	0.5355	206,335	100.00	379,491	550,000
Genesee (see Orleans)		0.3917	150,930			
Greene	Community Action of Greene County Inc.	0.3767	145,122	100.00	145,122	250,000
Hamilton (see Warren)		0.0521	20,080			
Herkimer (see Oneida)		0.6304	242,887			
Jefferson	Community Action Planning Council of Jefferson County, Inc.	0.9509	366,350	100.00	366,350	366,350
Kings		13.3077	5,127,241	100.00		
	Bedford Stuyvesant Restoration Corporation, Inc.			18.35	940,731	940,731
	Crown Heights Jewish Community Council			8.26	423,356	423,356
	Opportunity Development Association			19.35	991,911	991,911
	Sunset Park Redevelopment Committee			19.22	985,384	985,384
	Community Environmental Center Inc.			34.83	1,785,859	1,785,859
Lewis	Lewis County Opportunities Inc.	0.2604	100,323	100.00	100,323	250,000
Livingston (see Wyoming)		0.3870	149,104			
Madison	Stoneleigh Housing Inc.	0.5058	194,891	100.00	194,891	250,000
Monroe		4.9272	1,898,367			
	Action for a Better Community, Inc.			47.21	896,219	896,219
	Pathstone Corporation			52.79	1,002,148	1,002,148
Montgomery (see Fulton)		0.4494	173,156			
Nassau (see Suffolk)		2.9236	1,126,405			
New York		8.1905	3,155,663			
	Housing Conservation Coordinators			17.43	550,146	550,146
	Northern Manhattan Improvement Corporation			56.09	1,770,024	1,770,024
	Harlem Community Development Corporation			26.38	835,493	835,493

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County	Subgrantee	Allocation Factor	Formula Allocation	Percent of County	2013-14 Formula Share	2013-14 Adjusted Allocation (1)
Niagara	Niagara Community Action Program, Inc.	1.6548	637,585	100.00	637,585	637,585
Oneida	Mohawk Valley Community Action Agency (2)	1.9393	747,163	100.00	990,050	1,047,163
Onondaga	People's Equal Action and Community Effort, Inc. (2)	3.5188	1,355,721	100.00	1,684,967	1,684,967
Ontario (see Wayne)		0.6530	251,599			
Orange	Regional Economic Community Action Program, Inc.	1.3253	510,636	100.00	510,636	510,636
Orleans	Orleans Community Action Committee, Inc. (2)	0.2718	104,711	100.00	255,640	550,000
Oswego (see Onondaga)		0.8546	329,246			
Otsego	Opportunities for Otsego Inc.	0.5459	210,330	100.00	210,330	250,000
Putnam (see Westchester)		0.2472	95,253			
Queens		8.6074	3,316,287			
	Hellenic American Neighborhood Action Council, Inc.			44.90	1,488,930	1,488,930
	Margert Community Corporation			28.00	928,408	928,408
	Community Environmental Center Inc.			27.11	898,949	898,949
Rensselaer	CEO for the Greater Capital Region, Inc.	1.0251	394,942	100.00	394,942	394,942
Richmond	Northfield Community LDC of Staten Island	1.4723	567,266	100.00	567,266	567,266
Rockland	Rockland Community Development Council	0.8243	317,607	100.00	317,607	317,607
St. Lawrence	St. Lawrence County Community Development, Inc. (3)	1.0536	405,942	100.00	405,942	430,942
Saratoga	Saratoga County Economic Opportunity Council, Inc. (2)	1.1212	431,988	100.00	804,845	804,845
Schenectady (see Saratoga)		0.9677	372,857			
Schoharie	Schoharie County Community Action Program	0.2291	88,287	100.00	88,287	250,000
Schuyler (see Chemung)		0.1437	55,384			
Seneca	Seneca County Office for the Aging	0.2481	95,574	100.00	95,574	250,000
Steuben	Pro Action of Steuben and Yates Inc. (2)	0.8629	332,478	100.00	401,307	632,478
Suffolk	Community Development Corporation of Long Island Inc. (2)	3.2832	1,264,959	100.00	2,391,364	2,391,364
Sullivan	Sullivan County CACHE, Inc.	0.5957	229,528	100.00	229,528	250,000

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County	Subgrantee	Allocation Factor	Formula Allocation	Percent of County	2013-14 Formula Share	2013-14 Adjusted Allocation (1)
Tioga	Tioga Opportunities Program Inc. (2)	0.3434	132,292	100.00	774,241	941,948
Tompkins	Tompkins County Economic Opportunity Corporation	0.7157	275,742	100.00	275,742	275,742
Ulster	Ulster Community Action Committee Inc.	0.9634	371,180	100.00	371,180	371,180
Warren	Warren/Hamilton Counties ACEO Inc. (2)	0.5670	218,444	100.00	238,523	550,000
Washington	Washington County Economic Opportunity Council	0.4417	170,194	100.00	170,194	250,000
Wayne	Wayne County Action Program Inc. (2)	0.5753	221,650	100.00	473,249	551,599
Westchester	Westchester Community Opportunity Program Inc. (2)	3.1721	1,222,155	100.00	1,317,408	1,522,155
Wyoming	Wyoming County Community Action Inc. (2)	0.2898	111,667	100.00	260,772	550,000
Yates (see Steuben)		0.1786	68,829			
Total		100.0000	38,528,423			42,151,144
Technical service subgrantees	NYS Weatherization Directors Association (4)					300,000
	Association for Energy Affordability (4)					300,000
TOTAL:						42,751,144
<p>(1) Adjusted to provide minimum funding allocations (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.</p>						

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