

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

(Grant Number: EE0007909, State: CT, Program Year: 2020)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Community Renewal Team, Inc. (Hartford)	\$3,502,160.28 408
New Opportunities, Inc. (Waterbury)	\$3,244,759.56 376
Total:	\$6,746,919.84 784

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	784
Reweatherized Units	0

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

Average Unit Costs, Units subject to DOE Project Rules		
<i>VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	784
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	784
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<i>AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
F	Total Funds for Program Operations	\$5,440,274.39
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	784
H	Average Program Operations Costs per Unit (F divided by G)	\$6,939.13
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,939.13

IV.3 Energy Savings

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	784	29.3	22971
Prior Year Estimate	684	29.3	20041
Prior Year Actual	8	29.3	234

Method used to calculate savings description:

Connecticut utilizes the DOE Algorithm from the ORNL/TM-2014/338 national evaluation.

IV.4 DOE-Funded Leveraging Activities

In previous program years DOE funds were set aside for leveraging with non-federal resources to replace heating systems for DOE eligible homeowners

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whose present heating systems needed replacement. Since leveraging funds are not to be used for the payment of weatherization materials installed in a home, Connecticut ceased setting aside funds for this activity. The state will now replace heating systems in eligible owner occupied homes if an SIR of one or more is achieved or under the Health and Safety category. The utility companies will still continue to pay a portion of the replacement cost.

IV.5 Policy Advisory Council Members

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

Connecticut AARP	Type of organization: Non-profit (not a financial institution) Contact Name: Nora Duncan Phone: (860)548-3161 Email: nduncan@aarp.org
Connecticut Association for Community Action	Type of organization: Non-profit (not a financial institution) Contact Name: Deb Polun Phone: 8608329434 Email: deb@cafca.org
Connecticut Commission on Women, Children and Seniors	Type of organization: Unit of State Government Contact Name: Steven Hernandez Phone: 8602401424 Email: steven.hernandez@cga.ct.gov
Connecticut Energy Marketers Association	Type of organization: Non-profit (not a financial institution) Contact Name: Christian A. Herb Phone: 8606132041 Email: chris@ctema.com
Connecticut Legal Services	Type of organization: Non-profit (not a financial institution) Contact Name: Wendy W. Wanchak, Staff Attorney Phone: 8604561761 Email: wwanchak@connlegalservices.org
CT Local Administrators of Social Services	Type of organization: Non-profit (not a financial institution) Contact Name: Joy Hollister, Vice Chairman Phone: 8608962375 Email: jhollister@ellington-ct.gov
Department of Energy and Environmental Protection	Type of organization: Unit of State Government Contact Name: Michael Li Phone: 8608272802 Email: michael.li@ct.gov
Dept. of Social Services	Type of organization: Unit of State Government Contact Name: Carlene Taylor Phone: (860)424-5889 Email: carlene.taylor@ct.gov
Eversource Energy (Electric)	Type of organization: Utility Contact Name: Kenneth Millerd Phone: 8002862000 Email: kenneth.millerd@eversource.com
Eversource Energy (Gas)	Type of organization: Utility Contact Name: Nora Benson Phone: 8607273179 Email: nora.benson@eversource.com
Norwich Public Utilities	Type of organization: Utility Contact Name: Ruth Swift Phone: 8608872555 Email: ruthswift@npumail.com
Office of Consumer Counsel	Type of organization: Unit of State Government Contact Name: Tyra Peluso Phone: 8608272900 Email: tyra_peluso@ct.gov
Office of Policy and Management	Type of organization: Unit of State Government Contact Name: Matthew Pellowski Phone: 8604186207 Email: matthew.pellowski@ct.gov

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Operation Fuel, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Brenda Watson Phone: 8602432345 Email: brenda@operationfuel.org
Public Utilities Regulatory Authority	Type of organization: Unit of State Government Contact Name: Frank Augeri Phone: (860)827-2611 Email: frank.augeri@po.state.ct.us
Southern Connecticut Gas	Type of organization: Utility Contact Name: Suannette Galarza Phone: 2034992604 Email: Suannette.Galarza@uinet.com
The United Illuminating Company	Type of organization: Utility Contact Name: Kathleen Wasilnak Phone: 2034992250 Email: kathleen.wasilnak@uinet.com
United Way of Connecticut	Type of organization: Non-profit (not a financial institution) Contact Name: Kate Quigley Phone: (860)571-7500 Email: kate.quigley@ctunitedway.org

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
03/19/2020	The Public Notice for the Weatherization State Plan was issued February 5, 2020 and published on DEEP's website and was provided via electronic mail to US DOE and the Connecticut Association of Community Action Agencies. It was also sent to CT's Policy Advisory Council [LIEAB] for distribution. The notice invited public comments through April 2, 2020 and announced a public hearing held March 19, 2020, 2019

IV.7 Miscellaneous

Recipient Business Officer: Randy Michaelson
Randy.Michaelson@CT.gov
860-424-3124

Recipient Principal Investigator: Brian Biernat
DEEP.Weatherization@ct.gov
860-827-2983

CT WAP will continue ongoing collaborations with CT LIHEAP delivery and Utility leveraged cost share partners to integrate and streamline those funding streams during the 2019 DOE program year.

The Low-Income Energy Advisory Board (LIEAB) is Connecticut's PAC. They meet on the first Wednesday of alternating months. At the April 2019 LIEAB meeting, Diane Duva, Director of Weatherization, and Brian Biernat, Principle Weatherization Investigator, will provide an update of the CT WAP PY19 application and solicit any feedback and recommendations from the Board.

The State of Connecticut established a Low-Income Energy Advisory Board, in accordance with Connecticut General Statutes Sec. 16a-41b, to assist the Office of Policy and Management and the Department of Social Services in the planning, development, implementation, and coordination of energy-assistance-related programs and policies such as the Low-Income Home Energy Assistance Program. The Board advises the Department of Energy and Environmental Protection regarding the impact of utility rates and policies and the Low-Income Weatherization Assistance Program.

Connecticut Weatherization Assistance Program

Subgrantee Survey 2018

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Background Information

During late 2018 CT WAP conducted a Subgrantee survey aligned with the 2017 ACSI results, to inform the 2018 State Plan, and has effectively maintained focus on those concerns throughout the 2018 program year. The following summary is provided to recall the initial survey content and update on 2018 developments and impact to the 2019 WAP application.

Communication

Grantee communications was identified as the area warranting the highest level of focus for improvement.

Follow-Up Questions

- 1) Did CT WAP improve the sufficiency of communications regarding WAP policies and regulations during PY'17?
- 2) Was the frequency of communications from CT WAP improved during PY'17?
- 3) Was the consistency of responses received from CT WAP during PY'17 improved?

Answers

- 1) Yes. CT WAP kept CRT apprised of WAP policies and regulations during PY'17.
- 2) Yes. A recurring Tuesday conference call was initiated, and email communication occurs frequently.
- 3) Yes. DEEP's responses were consistent. At no time did CRT receive information from DEEP that conflicted with other information that was received by DEEP.

Update:

During program year 2018 CT WAP continued to maintain weekly conference calls with the subgrantee and in response to DOE Monitoring concerns, and responded with a series of in house training and guidance related to the use of the Weatherization Assistant Audit tool. The Program year 2019 Training plan reflects the continued efforts to provide training aligned with identified needs going forward.

Technical Assistance

ACSI Survey

Technical Assistance was identified as an area where CT WAP scored fairly strong. The recommendation was that CT WAP continues to work to maintain this level, as Technical Assistance is a high-impact area, essential to future performance.

Grantee Response to Concerns

During PY'17 Technical assistance was provided on topics that ranged from the Field Auditing, use of the NEAT/MHEA audit tools, Procurement and Tool, Equipment and Vehicle management.

Follow-Up Questions

- 1) Did CT WAP provide consistent, satisfactory levels of Technical Assistance during PY'17?
- 2) Does your agency have any concerns regarding the Grantee's staff or Technical Contractor's staff's ability to deliver timely and concise responses to inquiries?
- 3) What additional Technical assistance would you recommend that the Grantee provide?

Answers

- 1) Yes. DEEP's CT WAP Technical Advisor spent adequate time with CRT production staff to understand updated WPN 17-7, in particular. Additionally, the CT WAP Technical Advisor coordinated successful opportunities for CRT staff to work with ORNL staff to learn and then use MultEA for health & safety reports. CT WAP Technical Assistance continues to be satisfactory.
- 2) CRT does not have immediate concerns. CT WAP staff and Technical Assistance staff answer CRT production staff program and home weatherization questions timely and honestly. It would be helpful to have more information about DEEP program staff and consultant roles and responsibilities.

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3) CRT's Auditors and Inspectors would benefit by attending periodic technical skill building training with a focus on HVAC, Insulation, and Health and Safety related topics.

Update:

During program year 2018 CT WAP focused primarily on the new concerns raised during the DOE monitoring events. As a result the quality of the NEAT audits was dramatically improved. The subgrantee training consisted of review and reprocessing of all NEAT audits slated for production. Continuous evaluation was conducted via state level and local agency peer review. In addition revised library measures produced were factored into the program year procurement to ensure work product aligned with programmatic regulations. During program year 2019 CTWAP will continue to focus on this training demand and provide both comprehensive and regular training to the expanded service delivery model.

Development of the WAP State Plan

Grantee Response to Concerns

During PY'17 CT WAP regularly consulted with the local agency to refine the single subgrantee service delivery model and effectively apply that experience to developing the PY'18 plan.

Follow-Up Questions

1) Does your agency have any issues regarding the extent or quality of the opportunities to discuss the State Plan or degree to which the State plan reflects your input?

Answers

1) CRT has been continually requested to provide input and has met with DEEP to discuss the development of the State Plan. During those conversations, CRT has focused on the fact that common goals and applicable guidance are essential, and it would be helpful to determine early in the program year where interpretation of goals and applicable guidance differs. Ultimately, program success depends on the establishment of a mutual agreement on interpretation of guidance developed by DEEP based on input from stakeholders (including CRT) in developing the State Plan.

Update:

During program year 2018 CT WAP conducted continuous assessment of effectiveness of the single subgrantee model and engaged regularly in issues related to production shortfalls and unit costs. As a result of that evaluation it was determined that additional service delivery resources were necessary to improve statewide service delivery. Many of the concerns identified during the initial program year were addressed prior to the start of the 2018, however continued concern remained regarding the timeliness of the local agency contract execution and procurement remained. In preparation for program year 2019 CT WAP has developed an expedited contracting process and will implement milestones to ensure production commences in a timely manner statewide.

Timely Distribution of Federal Funds

ACSI Survey

During PY'17 funding delays were largely associated with delays related to the Subgrantee procurement process and subsequent review process. The Subgrantee contract execution date of 12/13/17 impacted the Subgrantee's ability to deliver any services beyond the pre-production level.

Additionally, procurement for service delivery was effectively delayed due to funding delays and complexities associated with the single subgrantee model. Furthermore, CT WAP recognizes that the Grantee's inability to award funds earlier in the program year has resulted in limitations for the Subgrantee service delivery and program development.

As a result of protracted resolution of procurement processes and contract issuance by the Grantee the Subgrantee has been unable to reach a level of production necessary to ensure that production goals are achieved in accordance with the pace originally identified in the contract with the Subgrantee.

Consequently, the Subgrantee's ability to create a stable program foundation that can sustain the production requirements for subsequent WAP program years has been limited to date.

Follow-Up Questions

1) What, if any, recommendations do you have for the Grantee that should be considered for future program development?

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2) Do you recommend additional Technical Assistance regarding the grant award process?

Answers

1) CRT recommends the establishment of a stable contracting environment to retain a highly trained and credentialed pool of contractors. The delay in WAP program rollout has had a devastating effect on the weatherization contractors in CT.

2) Yes. CRT recommends Technical Assistance regarding Best Practices that have been implemented by other Grantees with their respective Subgrantees.

Update:

During program year 2018 CT WAP continued to refine the local agency contracting process to include multi-year agreements with terms and conditions designed to ensure timely execution and procurement of contracted services. It is important to note that the local agency procurement attracted a substantially greater number of interested contractors and ultimately executed agreements with a much larger pool of statewide resources. In preparation for program year 2019 CT WAP anticipates an increased statewide contractor base as a result of the expanded service delivery model and use of the updated measures procurement libraries. Monitoring and

Corrective Actions

Grantee Response to Concerns

During PY'17 CT WAP Monitoring activities to date have been limited to desk reviews and on-site file review and consultation with the local agency staff as related to the pre-production phase of service delivery. It is anticipated that in process field QA and QCI inspections will be conducted as soon as production commences.

Follow-Up Questions

1) Based on the monitoring activities to date, including the DOE Comprehensive Monitoring conducted; does the Subgrantee have any concerns related to the consistency or clarity of the monitoring procedures and or corrective actions?

2) What, if any, suggestions do you have to improve monitoring activities

in the future?

3) Is there any technical assistance that you would recommend DOE provide the Grantee?

Answers

1) CRT has no concerns regarding the monitoring provided for the CT WAP Program. The two recent DOE DPE Comprehensive Monitoring visits were November 2015 and November 2017.

2) CRT recognizes the need for DEEP's comprehensive monitoring approach.

No improvements to recommend on the monitoring at this time.

3) Yes. CRT recommends Technical Assistance regarding Best Practices that have been implemented by other Grantees with their respective Subgrantees.

Update:

During program year 2018 the CT WAP monitoring approach was increased as a result of the 2017 production results. Enhanced reporting was implemented to track both pre-production and production costs as well as equitable distribution of services on a statewide basis.

Factors limiting the single subgrantee's ability to identify WAP candidates in all regions were effectively addressed via cooperative arrangements with the CT Department of Social Services and multiple local agencies. In preparation for program year 2019 CT WAP anticipates ongoing improvements in identifying WAP candidates with the additional subgrantee resources.

Partnerships

Grantee Response to Concerns

During PY'17 CT WAP notes that some success has been made in developing improved relations with multiple

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resources. CT WAP also notes that that improved partnerships are desired to address other concerns as well. CT WAP intends to focus on improved communications with all intake sources that connect the at need population with the service delivery Subgrantee. In addition ongoing efforts are being made to maintain cost share agreements with CT Utility partners in future program years.

Follow-Up Questions

- 1) What, if any, specific concerns do you have regarding the Grantee's efforts to improve and maintain partnerships with existing stakeholders?
- 2) Do you have any recommendations regarding additional partnerships the grantee should pursue?

Answers

- 1) CRT has with the aid of DEEP developed a referral network that is fed by, towns, municipalities and state agencies. Continued support in this area would be very helpful.
- 2) CRT recommends continued partnerships with LIHEAP Health and Safety funds to improve the delivery of services to low-income families in CT. In particular, it would be especially beneficial to extend the scope of the LIHEAP Health and Safety program to allow deeper remediation measures to be implemented on a case-by-case basis.

Update:

During program year 2018 CT WAP closely monitored the relationships between the single subgrantee and other funding sources. The program benefitted greatly from the availability of LIHEAP funding targeting Barriers to Weatherization and ultimately serviced units that would not have been able to receive comprehensive WAP services in the past.

CT WAP also identified a decline in cost sharing with the local utility funded efficiency programs. The causes for the decline were identified and have been addressed to restore funding is available for measures including insulation, Heating Systems and Window replacements going forward. The expanded service delivery model will enjoy the same access to funding during the 2019 program year.

Outcome Behaviors

Grantee Response to Concerns

CT WAP recognizes that PY'17 was an anomalous year in many ways, and respects that the workloads at the Grantee and Subgrantee level exceeded expectations to some extent. That said, the overall outcomes to date show promise and many lessons learned have served to inform the following program year development.

Follow-Up Questions

- 1) How confident is your agency that the State WAP agency is committed to supporting the local agency in their mission to assist low-income households with their energy needs?
- 2) How much do you trust the state agency to work with you to meet your organization's needs, within budget and contracting constraints?
- 3) What more could DOE WAP do to help the state and local agencies meet the needs of low-income people in CT during the next program year?

Answers

- 1) CRT is confident that CT WAP is committed to our agency as a single-source DOE WAP provider to service Connecticut low-income households.
2) CRT is confident in CT WAP staff to assist us in meeting production goals, keep CRT production staff trained and updated regarding guidance, program notices and regulations.
3) DOE WAP could share with all state and local agencies definitive procedures regarding Sub-Grantee procurement. DOE WAP should institute a singular system to utilize NEAT software that guarantees uniformity. If DOE WAP takes issue with a system used in past years, it would be helpful to understand early on in the program year why and how a change needs to be made. It would also be helpful to receive support from DOE's Purchasing Office through DEEP's CT WAP program early in the program year regarding the effective use of the required NEAT software for recommended measures with SIRs without Median pricing, including support with work order creation and how to closing a customer work order file with actual contractor pricing.

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Update:

During program year 2018 CT WAP continued to work closely with the single subgrantee to facilitate an expedited contracting and procurement process. There was measurable improvement over the previous year however the overall process period still impacted production implementation. As a result the mid-project assessment conducted by CT WAP identified concerns related to the local agencies production costs and unit cost ratios. The assessment though limited in actual production duration, did result in the local agency being put on notice of temporary disallowance of staffing costs related to program expenses.

The mid-project assessment also failed to provide evidence that supported the single subgrantee model model's capacity to deliver services cost effectively on a statewide basis thus prompting the grantee's decision to seek additional resources for program year 2019.

All issues regarding statewide pricing and procurement are believed to be full addressed going forward. It is anticipated that a substantial monitoring commitment will be necessary during the initial startup of the expanded service delivery model to ensure compliance.