

Program Year 2026 – Annual Weatherization Assistance Program (WAP) Application (Master File)

Connecticut Department of Energy & Environmental Protection (DEEP)

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

BOX: Provide a description of the definition of income used to determine eligibility

Income means cash receipts the applicant earned and/or received before taxes. Income does not include the exclusions identified in the US Department of Energy (DOE) Weatherization Assistance Program (WAP) guidance WPN 25-3. Gross income is used to determine eligibility, not net income.

BOX: Describe what household eligibility basis will be used in the Program

The Connecticut WAP (CT WAP) definition of low income used to determine eligibility is the same as the federal definition, in accordance with 10 CFR 440.22(a). A household is eligible for weatherization assistance if occupied by a family unit:

- Whose income is at or below 200% of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.
- Which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act, Pub. L. No 88- 452, 42 USC Section 2701 et. Seq or applicable State or local law at any time during the 12 -month period preceding the determination of eligibility for weatherization assistance or;
- Which is eligible for assistance under the Low-Income Home Energy Assistance Program (LIHEAP) under the Low- Income Home Energy Assistance Act of 1981, provided that such basis is at or below 200% of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget. Administered by Connecticut's Department of Social Services (DSS), LIHEAP sets eligibility for program participation at households at or below 60% of the state median income (SMI). Once a household is deemed eligible for LIHEAP assistance through the Connecticut Energy Assistance Program (CEAP), it is automatically considered eligible for WAP, subject to DEEP's confirmation of LIHEAP eligibility.

Some households are considered categorically eligible due to eligibility determinations made by another governmental entity or through participation in another Program that has, by definition, eligibility requirements that are as restrictive as or more restrictive than the eligibility requirements for WAP. Any individual or household that is not considered categorically eligible, based on proof that the applicant meets the eligibility criteria, must meet the income-eligibility criteria for WAP, based on proof that the household income is at or below the level set for WAP eligibility. In this case, the individual must submit either Income Verification documentation or a notarized Statement of No-Income.

It is the Subgrantee's responsibility to verify the household's eligibility for CT WAP, including the necessary documentation, prior to weatherization. Questions about eligibility must be directed to the client or the entity that qualified the client. If a resolution cannot be achieved, then the client must be deferred from the Program until they have been requalified.

Application eligibility expires 12 months from the certification date if work on the dwelling unit (energy audit) has not been initiated. If there is a waiting list for WAP services, the re-establishment of eligibility does not affect the household's position on the waiting list.

WAP services may only be provided to eligible populations. Subgrantees are directed to review the LIHEAP IM HHS Guidance on the Use of Social Security Numbers (SSNs) and Citizenship Status Verification and the LIHEAP IM 2023-03 Assistance for Eligible Household Members Residing with Ineligible Household Members for additional guidance.

- Anyone who is eligible for assistance under a HUD means-tested program, is categorically eligible per the guidelines set forth in WPN 22-5 and consistent with 42 U.S Code § 6863(b)(3).
- Anyone who is eligible for assistance under a USDA means-tested program is categorically eligible per the guidelines set forth in WPN 25-4.
- Anyone who is eligible for assistance under Connecticut's Conservation & Load Management weatherization program for low-income persons: Home Energy Solutions – Income Eligible (HES-IE) who has been approved through Options A or B of the 2025 HES-IE application, subject to data availability from the HES-IE program operators is eligible to receive WAP services provided the income threshold for this program is 60% SMI, the same as the income threshold for LIHEAP.

Note: The HES-IE application does not have an asset test. For information about how the HES-IE program performs income qualification, see the 2024-2025 HES-IE application on energizect.com ([Home Energy Solutions - Income Eligible Application](#)).

More information on eligibility, including categorical eligibility, can be found in the CT WAP Operations Manual, in the "Eligibility" Section. Link: [CT WAP Operations Manual 2026](#).

Note: The Grantee for CT WAP is DEEP. DSS administers LIHEAP.

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

CT WAP follows the guidance provided by HHS under Low-Income Home Energy Assistance Program (LIHEAP) at Summary of Immigrant Eligibility Restrictions Under Current Law | ASPE (hhs.gov) for information on qualified aliens receiving WAP benefits.

V.1.2 Approach to Determining Building Eligibility

BOX: Procedures to determine that units weatherized have eligibility documentation

No dwelling unit may be weatherized without documentation of eligibility. At the Subgrantee level, all household income must be calculated pursuant to DOE requirements. The Subgrantee must also establish who occupies and owns the property and the household income through proper documentation.

Subgrantees are required to verify home ownership by contacting the local Assessor's office for ownership information and the Town Clerk's office for a copy of the deed. After review, if the client is not listed on the deed or if there are individuals on the deed who are not listed on the application materials, further review by the Subgrantee is required. This additional review may take the form of a client interview in conjunction with a request for back-up documentation verifying the information obtained in the interview. This process is also relevant to renters. Subgrantees are required to verify income for renters as part of the WAP eligibility process.

Verification of income eligibility is completed through a combined application process for CT WAP and CEAP. Once a household has been determined eligible for CEAP benefits, that household is deemed automatically eligible for CT WAP. A client is financially eligible for CEAP if the total, annual gross income of the household is at or below 60% of the state median income, adjusted for household size. Some examples of documentation that would verify eligibility for CEAP include documentation of income (i.e., W-2 forms), documentation of liquid assets (e.g., checking and savings accounts, stocks, bonds, retirement accounts, etc.), and proof of receipt of Temporary Family Assistance or other state or federal cash assistance programs. All documentation of income gathered for CEAP or HES-IE eligibility must be verified by CT WAP staff to confirm eligibility.

See the CT WAP Operations Manual for more information.

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BOX: Describe Re-weatherization compliance.

Dwelling units weatherized (including dwelling units partially weatherized) under WAP, or under other Federal programs (in this paragraph referred to as 'previous weatherization'), may not receive further financial assistance for weatherization under WAP until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under WAP or under other federal programs, or from receiving non-federal assistance for weatherization.

Please review the CT WAP Operations Manual for more information.

BOX: Describe what structures are eligible for weatherization

Residential buildings served by CT WAP with Formula Funds are classified based on the number of dwelling units and may include buildings with one to four (1-4) units. Common residential building types include detached homes, townhomes, and duplexes. While there are many commonalities and shared skill sets for working on the different types of buildings in the CT WAP, some of the processes and Program requirements will differ for performing weatherization work on different housing types.

CT WAP defines Single-Family as a site-built, independently functioning 1-4 unit building that is under 10,000 sq ft and 3 Stories or less.

CT WAP defines a Manufactured Unit as a Single-Family detached home that is manufactured entirely under a federal building code administered by HUD. Manufactured homes may be single or multi-section and are transported to the site and installed. May or may not be built on a foundation. Manufactured housing is only served by WAP Single-Family.

Multifamily buildings with 5 or more units will be served utilizing WAP IJA Funds.

Mobile homes are eligible for weatherization as well and are reported with the other types of housing stock in the quarterly reports. Caution must be exercised when dealing with non-traditional dwelling units such as shelters, apartments over commercial properties, etc. to ensure that they are eligible. Weatherization of these properties must be reviewed and approved by DOE POs prior to weatherization. Weatherization of non-stationary campers and trailers that do not have a mailing address associated with eligible applicants is not allowed. The use of a PO Box for non-stationary campers or trailers does not meet this requirement.

Please see the CT WAP Operations Manual for more information.

BOX: Describe how Rental Units/Multifamily Buildings will be addressed

In Connecticut the Grantee shall ensure all rental units are served in accordance with the 10 CFR 440.22, and WPNs 22-5, 22-12 and 22-13. To ensure compliance, CT WAP has developed processes and procedures to ensure that Subgrantees document and provide consistent services to tenants in rental units.

Building eligibility requirements include:

1. Weatherization of duplexes and buildings with up to four units requires that at least 50% of the units must be occupied by eligible households, as defined in the Program guidelines, or will become eligible dwelling units within 180 days under a Federal, State, or local government program for rehabilitating the building or making similar improvements to the building.
2. A Multifamily building is eligible where at least 66% of dwelling units are eligible dwelling units or will become eligible within 180 days under a federal, state, or local government Program for rehabilitating the building or making similar improvements.
3. For a period of two years, an owner of a building assisted with WAP funds may not raise the rent for any units in the building unless the owner can demonstrate that the increase is related to factors other than the weatherization work performed.
4. For a period of two years, the owner of a building assisted with WAP funds may not evict or involuntarily remove any tenant in a weatherized unit for the same period, except for cause and subject to all legal and statutory procedures, tenant protections and requirements.
5. The benefits of weatherization assistance in connection with such rental units, including units where the tenants pay for their energy through their rent, will accrue primarily to the low-income tenants residing in such units. For rental units with utilities included in rent, tenant benefits are realized through improved comfort, health and safety, preservation of affordable housing, and rent protections that prohibit rent increases attributable to weatherization for the two-year required compliance period.
6. No undue or excessive enhancement shall occur to the value of the dwelling units.

In accordance with 10 CFR 440.22(b)(4), a building containing rental dwelling units meets the requirements of 1,2,3 and 6 above if it is included on the most recent list posted by DOE of Assisted Housing and Public Housing buildings identified by HUD as meeting those requirements, meets the requirements of 1,2 and 6 above if it is included on the most recent list posted by DOE of Assisted Housing and Public Housing buildings identified by HUD as meeting those requirements, and meets the requirement of 1 and 2 above if it is included on the most recent list posted by DOE of Low Income Housing Tax Credit buildings identified by HUD as meeting that requirement and of Rural Housing Service Multifamily Housing buildings identified by the USDA as meeting that requirement.

All HUD means-tested properties are categorically eligible to receive weatherization services utilizing existing procedures, processes, and documentation. Subgrantees may certify that

applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. The method of verification of eligibility must be included in the Client File.

CT WAP has signed a Programmatic Agreement with the State Historic Preservation Office (SHPO) which is used to determine which weatherization measures may be installed in a historic property.

Weatherization Agreement

All owners or landlords of rental units sign a Weatherization Agreement providing for the following:

- Written permission to enter onto the property and for work to commence;
- A prohibition on rental increases for a period of two years from the date the weatherization work is completed unless the landlord/owner can document that the increase is due to factors other than the weatherization assistance performed;
- A prohibition on tenant evictions for a period of two years from the date of the completion of the weatherization work, except for cause and subject to all legal and statutory procedures, tenant protections and requirements;
- Upon written notification to the Owner that a tenant complaint regarding a rent increase or eviction action has been received, the Owner shall immediately provide written verification that the terms of the agreement have not been violated;
- CT DEEP reserves the rights to pursue all available legal remedies against the Owner, including putting a lien on the property to collect the full cost of the weatherization work completed on the unit(s) including the value of materials and services provided if the landlord breaches the agreement; and
- No undue or excessive enhancement shall occur to the value of the dwelling unit. A properly executed energy audit with an energy conservation measure (ECM) of 1 or greater would not constitute an undue enhancement.

Tenants receive a copy of the Agreement and therefore are aware of the conditions placed on the landlord.

Please see the Weatherization Agreement for additional details, and see the CT WAP Operations Manual for more information.

BOX: Describe the deferral Process

The CT WAP Deferral Policy is included in the CT WAP Operations Manual and is copied below.

Deferral occurs when a unit has been determined to be eligible for services, but weatherization cannot be implemented due to existing conditions that do not allow for safe or effective installation of weatherization measures. A short-term delay of an in-progress unit is not considered a Deferral.

The CT WAP Deferral Policy described in this section provides reasons for deferral of weatherization services to a unit or building, details the deferral process, and provides further resources that should be shared with clients when their project is deferred. Subgrantees are responsible for compliance with this Policy, and DEEP will monitor compliance during annual monitoring.

Reasons for Deferral

Reasons for deferral include, but are not limited to:

- **Structure for sale:** The building or dwelling unit is for sale or subject to bankruptcy or foreclosure.
- **Legal issues:** The legal ownership of the building or dwelling unit cannot be legally confirmed. Title must be established before services can be provided.
- **Demolition:** The building or dwelling unit is scheduled for demolition.
- **Not cost-effective:** The building's mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent, and the conditions cannot be resolved cost-effectively.
- **Structural problems:** The building or dwelling unit is found to have serious structural problems that appear to make weatherization impractical or impossible. The energy auditor must report these findings to the Subgrantee. If the Subgrantee concurs that weatherization is not practical or possible at that time, the Subgrantee must consult with the CT WAP staff before deferring the project. If the Subgrantee determines that weatherization is practical and feasible despite the structural issues, it must obtain approval from CT WAP staff before proceeding with weatherization.
- **Budget Constraints:** The existence of any condition that could endanger the health and/or safety of the work crew and/or contractor and cannot safely be remediated within the budget or scope of Weatherization, Health and Safety, and/or Weatherization Readiness Funding;
- **Condemned or uninhabitable:** The building or unit has been condemned or determined to be uninhabitable by a local jurisdiction.
- **Sewage and sanitary issues:** The building has sewage or other sanitary problems, and weatherization services would further endanger the client, work crew and/or contractors if weatherization was performed.
- **Infestation:** The building is infested with rats, roaches, or other vermin.
- **Health or safety hazard:** When, in the judgment of the energy auditor, any condition exists that may endanger the health and/or safety of the client, work crew, and/or contractor.
- **Unsafe or inoperable equipment or heating appliance:** The electrical, heating, plumbing, or other equipment has been deemed unsafe or inoperable by a certified heating professional or by a local or State building official or utility, or a "Red Tag" has been attached to a heating unit.

- **Commercial Operation:** The unit is being used as a commercial enterprise.
- **Uncooperative Client:** The Client is uncooperative with the Subgrantee, including, but not limited to, demanding that certain work be done and refusing higher priority work which is needed (e.g., demanding only windows), by being abusive or threatening to the work crew or subcontractor, denying access to the unit at reasonable times, or refusing to abide by the Weatherization Agreement. The Subgrantee should make reasonable efforts be made to explain the Program and its benefits. If this fails, the Subgrantee must consult with CT WAP staff prior to deferring the project.
- **Extensive work scope:** The building or unit needs extensive rehabilitation prior to weatherization.
- **Illegal Activities:** The energy auditor, work crew or contractor suspects that illegal activities are taking place on the property, or illegal activity is otherwise credibly reported to the Subgrantee. All activities must be properly documented in the Client File.
- **Owner intransigence:** The non-income-eligible building owner refuses to cooperate or otherwise abide by the Weatherization Agreement.
- **Potential lead hazard:** There is reason to believe that weatherization work would disturb loose, peeling, flaking, and chipping paint or could spread paint dust and related debris and possibly cause harm to occupants.
- **Potential mold or moisture problems:** Existing moisture or mold conditions with resulting problems that cannot safely be remediated within the budget or allowable scope of work, or there is concern that mold and existing moisture conditions would be made worse as a result of providing weatherization services.
- **Hoarding:** The building or unit is not safely accessible and/or there are signs of hoarding behavior that prevents the installation of weatherization measures.
- **Health Condition of Unit Occupant:** A contagious or otherwise dangerous health condition of an occupant that cannot be cured or remedied such that the workspace is safe for the Subgrantee, work crew, and contractor within a reasonable time.
- **Volatile Organic Compounds (VOCs):** Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, high levels of formaldehyde, and/or unsafe levels of other pollutants or VOCs, and these conditions cannot be resolved within a reasonable time under existing guidelines.

Deferral Process

Subgrantees must have an internal Deferral process, approved by DEEP, and in compliance with this Manual. A Deferral may occur at any phase of the weatherization process. Deferrals must be reviewed and approved by the Subgrantee management and fully documented in the Client File. At the time of Deferral, the Subgrantee must submit the Notice of Deferral to DEEP.

In unusual situations not covered in section 12.4.1 above or where other unique problems exist, the Subgrantee must consult CT WAP staff. In such cases, the Subgrantee must provide pictures and written documentation explaining the nature and scope of the situation, along with an explanation for a possible Deferral.

If obvious discrepancies are found between the information supplied by the applicant as a basis for eligibility on the application and observed conditions at the time of weatherization, the Subgrantee must

address these issues in accordance with the CT WAP Waste, Fraud, and Abuse Policy. Some examples of discrepancies are a difference in the number of people living in the dwelling unit, (fewer people than listed or a person not disclosed on the application who may have income), evidence of commercial activity or a business being operating out of the unit, etc.

Notice of Deferral

When a unit is deferred for any reason listed in this Manual, the Subgrantee must complete a Notice of Deferral and give a copy to the Client, either by hand delivery, electronic delivery, or regular mail. In the case of rentals, the Subgrantee must send the Notice of Deferral to the property owner, with a copy given to the occupants of the unit. The Client and/or owner must sign the Notice of Deferral, and a copy of the signed Notice of Deferral must be included in the Client File.

The Notice of Deferral must:

- Identify the specific reason(s) for deferral;
- Include an adequate timeline for resolution of the condition(s);
- Be signed by the Client and the Subgrantee; and
- Be completed by the Subgrantee, with a copy provided to the Client.

In addition to the Notice of Deferral, and when appropriate, Subgrantees should provide alternative resources to the Client that may be available to address each basis for deferral. See section 12.4.3. below.

Deferral Resolution

If the Subgrantee confirms that the conditions specified in the Notice of Deferral are addressed, and the Subgrantee has verified that the Client is still eligible for WAP services, the project must be prioritized for service. If more than one year has passed since the determination of eligibility for WAP was made, then the Client cannot be added back to the queue and must reapply for WAP services based on the current eligibility requirements.

If the conditions specified on the Notice of Deferral are not remedied within the timeframe provided, the Subgrantee must complete the appropriate section of the Notice of Deferral, provide a copy to the Client, and remove the project from the Program. An extension of time may be granted if, in the judgment of the Subgrantee's weatherization Program management, the owner is making progress on the underlying issues and may be expected to resolve the problem within a reasonably extended time period. Because such extensions tie up Subgrantee resources and prevent the use of funds on other eligible units, it is recommended that no more than two (2) extensions be granted. Once the deferral conditions are adequately addressed, the project must be prioritized for service. If the conditions are not remedied within a reasonable timeframe, after all extensions have expired, the Subgrantee must complete the appropriate section of the Notice of Deferral, provide a copy to the Client, remove the project from the Program, and close the Client File.

Deferral List

The Subgrantee shall maintain a list of units and buildings that are deferred, which shall include the address, date, and reason for deferral.

Deferral Appeal Process

The following process applies to all Weatherization Applicants.

The Subgrantees must consider all timely written notices received from an Applicant indicating intent and

reason for appeal after a Notice of P Deferral (Notice of Deferral), pursuant to the procedure for appeal outlined in this Manual. Subgrantees must return any appeals received after the fifteen (15) business-day appeal period, accompanied by a notice stating that the appeal cannot be considered because it was submitted beyond the deadline.

Subgrantees may use their own official procedure for hearing and appeal decisions after the procedure has been approved by DEEP. Appealed decisions are to be decided by a Subgrantee staff person who is at least one level higher than the person who made the decision on the case eligibility

An appeal must be considered and decided, and the decision must be communicated to the appellant in writing no later than ten (10) business days following receipt of the appeal. If the Subgrantee fails to meet this deadline, the appeal must be automatically forwarded by the Subgrantee to CT WAP for action. The appeal decision notice must clearly state the acceptance or denial of the appeal. If accepted, the Weatherization process continues. If the appeal is denied, the notice must state:

- That the appeal has been reviewed and denied; and
- That the appellant has a right to a final appeal to CT WAP; and
- That the appellant has an additional ten (10) business days from the date of the second letter to appeal to CT WAP; and
- The procedure required to be used to appeal to CT WAP.

Closed Client Files

If the Deferral results in the Subgrantee removing the project from the Program, the Subgrantee must retain and maintain a Closed Client File. Closed Client Files are to be kept separate from active Client Files. The Closed Client File must include the following items, as applicable:

- The completed application for weatherization;
- Notice of Deferral including applicable attachments;
- All correspondence related to the case;
- Documentation of reason(s) for removal from WAP;
- Written case notes as applicable;
- Documentation related to a Client's appeal, if applicable.

Resources for Referral

Where appropriate, referrals may be made to alternative resources. See CT WAP Ops Manual, "Appendix E – Deferral Resources for Referral" for more information.

Weatherization Readiness Funds

Please review the WRF Plan that was submitted as part of the State Plan Package.

V.1.3 Definition of Children

Definition of children (below age): 6

V.1.4 Approach to Tribal Organizations

BOX QUESTION: Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal

In accordance with 10 C.F.R. 440.16(f), low-income members of an Indian tribe who apply for the program will receive benefits equivalent to those provided to other low-income persons in Connecticut. CT WAP has not made the recommendation provided in 10 CFR 440.12(b)(5) that a tribal organization be treated as a local applicant eligible to apply pursuant to 10 CFR 440.13(b). Connecticut law recognizes five Indian tribes: (1) Golden Hill Paugussett, (2) Mashantucket Pequot, (3) Mohegan, (4) Paucatuck Eastern Pequot and (5) Schaghticok. These tribes occupy six (6) reservations within the State.

V.2 Selection of Areas to Be Served

Connecticut uses one or more entities authorized by 10 CFR 440.14(c)(6)(ii) to deliver services as Subgrantees (subcontractors or service providers). These entities have demonstrated experience and performance in weatherization or housing renovation activities, experience in helping low-income persons, and capacity to undertake a timely and effective weatherization program.

The terms “Subgrantee” and “Subgrantees” as well as “subcontractor”, “subcontractors”, “service provider”, and “service providers” are used with the same meaning interchangeably throughout this Proposed State Plan, regardless of the number of actual Subgrantee(s)/subcontractor(s)/ service provider(s) in any given Program Year.

In PY26, DEEP will continue to work with Subgrantee(s) competitively selected through PY23 Request for Proposals.

To ensure equitable geographic distribution, Connecticut will include target unit production goals by region in Subgrantee contracts. The WAP service territories have been consolidated into two regions, with Region 1 containing Middlesex, Tolland, Litchfield, Windham, New London, and Hartford counties and Region 2 containing Fairfield and New Haven counties. County population size and poverty level were determined using several data sources such as the 2019 Connecticut total population estimate and census data. This information was then used to split the counties so that each region would contain approximately an equal number of income-eligible households.

DEEP will seek the input of the Policy Advisory Council (PAC), which is the Connecticut Low -Income Energy

and Water Advisory Board (LIEWAB), on PY26 program implementation strategies. LIEWAB is an independent body whose membership includes stakeholders such as Community Action Agencies, State Agencies, Nonprofits, and Quasi-Public Organizations. These key stakeholders assess how to improve the delivery of services statewide in PY26.

V.3 Priorities

Weatherization Clients determined eligible for the program through LIHEAP or other means tested application processes are served on a first come first serve basis. If a waiting list develops, then an eligible client is added to a waiting list to receive weatherization services. Once on a waiting list, priority is given to the most vulnerable households, defined by DOE as being households with:

- High energy use (Defined in 10 CFR 440.3)
- High energy burden (Defined in 10 CFR 440.3)
- Elderly occupants (60 years of age or older)
- Disabled occupants
- Young children (under age 6)

Once the most vulnerable clients have been served, priority is given to clients who have been on the waiting list the longest. All clients are required to reapply on an annual basis to ensure they are still eligible to receive services and no application on the waiting list is older than one year. Subgrantees should keep a record of the first time the client applied for weatherization to ensure that a client does not lose their place on the waiting list when reapplying for weatherization services.

DSS provides to DEEP the list of households eligible for LIHEAP by region and provides each eligible household with a notice of eligibility for weatherization which contains information on how to apply for WAP. These regional lists are provided to the Subgrantees who then determine prioritization according to the prioritization criteria provided above.

Definition of High Energy Burden Utilized in Connecticut

Consistent with Operation Fuel's definition of high energy burden in *Home Energy Affordability in Connecticut: The Affordability Gap*, CT WAP considers households spending 6% or more of their household income on energy costs as High Energy Burden sites. Service delivery priority will be provided to those sites. Households with a High Energy Burden are tracked in the monthly reporting template provided to CT WAP by each Subgrantee which is completed utilizing data from the Weatherization Assistant Web 10.x software. This data is then aggregated quarterly and entered in the PAGE QPR.

Definition of High Energy User Utilized in Connecticut

Connecticut will continue to work with our utility partners and the Connecticut Low-Income Energy and Water Advisory Board (LIEWAB) to research and develop a definition of High Energy user that meets the DOE requirements. Service delivery priority will be provided to those sites.

Households that are High Energy Users will be tracked in the monthly reporting template provided to CT WAP by each Subgrantee which is completed utilizing data provided by the utility service providers. This will then be aggregated quarterly and entered in the PAGE QPR.

V.4 Climatic Conditions

Connecticut WAP has implemented the use of the Weatherization Assistant 10.06.005 audit tool. Climatic conditions from Weather Stations closest to the weatherized home site will be used for all site-specific WAP analyses.

The IECC 2021 Climate Zone Map recognizes the entire state of Connecticut as within Zone 5.

The Weatherization Assistant 10.06.005 Audit tool utilizes Hartford, CT as the only weather file located within Connecticut. CT WAP recognizes Hartford, CT as the city which best represents the average climate conditions within Connecticut at 5,737 heating degree days. All site-specific audits conducted within Connecticut will utilize Hartford, CT as the selected weather file.

In accordance with WPN 22-7 Table of Issues, where heating system repair or replacement is required when there is a documentable threat to the occupants' health and safety, those costs are allowable as H&S expenses, unless the SIR is greater than or equal to one (1.0), then the measure shall be installed as an ECM.

Heating degree days were calculated with NOAA Climatic Data ([Climate at a Glance | National Centers for Environmental Information \(NCEI\)](#)) for a period of thirty-five (35) calendar years from 1991 through 2025.

Based on this information:

- Fairfield County averaged 5,597 heating degree days.
- Hartford County averaged 5,920 heating degree days.
- Litchfield County averaged 6,570 heating degree days.
- Middlesex County averaged 5,707 heating degree days.
- New Haven County averaged 5,739 heating degree days.
- New London County averaged 5,680 heating degree days.
- Tolland County averaged 6,136 heating degree days.
- Windham County averaged 6,087 heating degree days.

Connecticut's average of 5,930 heating degree days justifies heating system repairs or replacement as a H&S measure.

Cooling Degree Days are not used in PY26 analyses, but CT WAP will work to develop a plan to address the repair and replacement of cooling systems in collaboration with DOE. The goal will be to develop a clear process and plan for including cooling system replacements in future program years.

All National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit Tool (MHEA) site-specific audits will reference Hartford, CT weather files to complete audits.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

As a threshold matter, all work undertaken by CT WAP is performed in accordance with the DOE- approved, energy audit procedures and 10 CFR. 440 (Appendix A).

Note: *All work performed and reported as completed must follow DOE WPN 22-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide Standard Work Specifications (SWS) Aligned Edition Version, The CT WAP Operations Manual, and the current Year State Plan/Master File.*

In PY25, DEEP completed a revision of the CT WAP OPS Manual to reflect updated policies and procedures, to accommodate services to multifamily units.

In accordance with WPN 22-4, CT WAP will provide Subgrantees and/or contractors with technical requirements for fieldwork including, but not limited to field guide(s), building diagnostic and combustion safety procedures, audit/testing policy and procedures; installation of energy conservation measures (ECM), H&S, incidental repair measures (IRM), and Final Inspections.

Connecticut WAP routinely reviews this compliance aspect with the Subgrantee at the time of contract execution and obtains an authorized signature of receipt by the Subgrantee.

All documentation utilized for the purpose of executing contracted services and/or guiding fieldwork shall be fully aligned with Standard Work Specifications (SWS) and contains language that confirms Subgrantee and/or contractor's receipt, cognizance, and confirmation of communicated materials as referenced above. All work performed by CT WAP Subgrantees and/or contractors must be consistent with CT WAP SWS aligned Field standards and SWS aligned Field Guides.

Connecticut WAP makes available to the public the Connecticut WAP Quality Work Plan, Connecticut

Weatherization Field Guide SWS Aligned Edition, the CT WAP Operations Manual, and the Current year State Plan/Master File on DEEP's website. .

All of these documents can be found at:

<https://portal.ct.gov/DEEP/Energy/Weatherization/Subgrantee-Documents-for-Connecticut-Weatherization-Assistance-Program>

Connecticut WAP shall ensure that all activities will comply with DEEP's Historic Preservation Programmatic Agreement (PA) (2020) and DEEP's NEPA determination. Any activities pursued outside of the allowable activities of the PA or the National Environmental Policy Act (NEPA) Determination shall require an Environmental Questionnaire (EQ1) to be submitted to DOE for review. Both the PA and NEPA Determinations shall be made available to CT WAP Subgrantees.

Connecticut WAP has produced work quality standards that continuously align with DOE WPN 22-4, The CT WAP Quality Work Plan, CT Weatherization Field Guide SWS Aligned Edition, and the current year State Plan/Master File.

Connecticut WAP Monitoring shall conduct an ongoing assessment of Subgrantee staff and contracted resources to ensure that all personnel engaged in installing measures are aware and practicing work standards in compliance with DOE WPN 22-4, the Connecticut WAP Quality Work Plan, the Connecticut Weatherization Field Guide SWS Aligned Edition, the CT WAP Operations Manual, and the current program year's State Plan/Master File.

CT WAP Monitoring shall ensure that 100% of weatherized homes reported as complete are inspected by the Subgrantees in compliance with DOE WPN 22-4, the Connecticut WAP Quality Work Plan, the Connecticut WAP Weatherization Field Guide SWS Aligned Edition, the CT WAP Operations Manual, and the current year State Plan/Master File.

Connecticut WAP Subgrantee contracts for services with weatherization contractors must also include an acknowledgment of the receipt of communication of links to the Connecticut WAP Field Guide, SWSS, and Standards as outlined in DOE WPN 22-4 Section 2.

Subgrantee agreements and vendor contracts **contain language which clearly documents the SWS for work quality as outlined in** Section 1 of the Quality Work Plan.

Note: See the CT WAP Operations Manual for more information.

Example contract language used in all Subgrantee contracts:

"All work performed under this Contract shall be done in compliance with the State and Federal Standard Terms and Conditions attached hereto in addition to: the Connecticut Weatherization

Assistance Program (CT WAP) guidance, the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition, CT Weatherization Assistance Program Operation Manual (the Manual), the current CT WAP State Plan as prepared by the State of Connecticut's Department of Energy and Environmental Protection (DEEP), (available on DEEP's website) and all U.S. Department of Energy Weatherization Assistance Program regulations and guidance, as may be amended.

BOX: Field guide approval dates

Single-family (includes 1-4 units):07/22/2026

Manufactured Housing: 07/22/2026

V.5.2 Energy Audit Procedures

BOX: Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-family

Audit Name: N/A

CT WAP is DOE- approved (as of 05/26/26) to continue to utilize the site-specific, Weatherization Assistant (NEAT) Audit tool software. Only measures that achieve an individual SIR of 1 or more are allowed.

Audit Procedure: Manufactured Housing

Audit Name: N/A

CT WAP is DOE -approved (as of 05/26/26) to use the MHEA audit tool software to respond to manufactured home service requests.

BOX: Comments

Site-specific NEAT energy audits shall be performed for all jobs. After dwellings are thoroughly checked for all needed measures, the audit prioritizes the recommended measures by SIR. Except for Health and Safety (and general heat waste) measures, only measures with an individual SIR of one or more are allowed. Health and Safety (H&S) checks, detailed in the H&S Plan and client education, are also an important part of the energy audit process. Subgrantees providing weatherization services review, discuss and explain audit results with the client, provide collateral materials, and appropriate contact information.

Connecticut WAP is currently working with Hancock Software Inc. to implement a weatherization database management system.

State-level experts continue to closely monitor the NEAT audit tool proficiency of all Subgrantees.

CT DEEP, pursuant to WPN 23-6, will seek audit tool reapproval at least 6 months before the expiration of the previous approval.

Multifamily: Any structure with 5 or more units will be weatherized using WAP IIJA funds. At the time a multifamily project is considered, DEEP will submit to the PO the necessary materials to approve the multifamily project prior to commencing weatherizing the building (e.g., engineering assessment, energy audit input/output). The PO will review and approve/reject the project(s) on a case-by-case basis in the absence of an approved multifamily energy audit tool.

No WAP Formula funds will be used to weatherize buildings with 5 or more units. For 2–4-unit multifamily structures, DEEP will utilize the NEAT software for energy audits.

V 5.3 Final Inspection

Connecticut WAP has processes in place to ensure that all dwelling units reported as complete to DOE have had all weatherization measures installed in a workmanlike manner and that all measures have been completed in accordance with the priority determined by the energy audit procedures and the requirements in 10 CFR 440.21.

Connecticut WAP policy maintains that the Subgrantees must complete a Final Quality Control Inspection (QCI) on 100% of all completed units. These units must pass both a desk monitoring and field inspection before they can be submitted to the Grantee for payment. In addition to Subgrantee monitoring, the Grantee will monitor at least 10% of all completed units. Grantee Final QCI (also called “State Final QCI” on the CT WAP Operations Manual) includes desk monitoring of the Client File and field inspection of the unit. If a unit is selected for Grantee Final QCI, the Subgrantee cannot receive payment until the unit passes Grantee Final QCI. During both Final QCI and State Final QCIs, the monitor ensures that all measures were installed in a workmanlike manner and that all programmatic and technical guidelines were followed. If any work is found to be unsatisfactory or not in alignment with WAP guidelines, the Subgrantee must correct the issue and submit photographs and/or other documentation to prove that the issue was corrected.

Connecticut WAP policy also maintains that on-site monitoring of in-progress work will be conducted on at least 10% of all units. This is to ensure that all programmatic and technical guidelines are followed during the installation process. Any findings noted during these in-progress inspections will be shared with the

Subgrantees so they have the opportunity to improve their performance and make any necessary corrections.

The desk monitoring is a comprehensive review of the client file to ensure that all required documents are stored and that all content is in alignment with WAP policies. This includes a review of the eligibility documentation, NEAT data collection form, NEAT input form, NEAT recommended measures report, generated work order(s), and Subcontractor invoices. Any changes to the work order must be justified in writing. When reviewing this documentation, the inspector is responsible for ensuring that all work is appropriate and aligned with the Grantee's energy audit procedures. If any work is misaligned with WAP policies, it may result in disallowed costs for the Subgrantee and/or Subcontractor.

All Final QCIs conducted on work performed and reported as DOE completed CT WAP sites must be in compliance with 10 CFR 440.21, DOE WPN 22-4, DOE WPN 24-4 Section 2, the Connecticut WAP Quality Work Plan requirements, Connecticut WAP Weatherization Field Guide SWS Aligned Edition, and the current program year's State Plan/Master File.

CT WAP utilizes Hancock and the Monthly Report to note which units have been selected for monitoring and to ensure that at least 10% of the completed units will be monitored.

Energy Auditors and Quality Control Inspectors are required to list their name, BPI number, and expiration date of their certification on the form utilized for monitoring so that CT WAP can ensure that all audits and inspections are completed by qualified individuals. WAP staff who do not have adequate certifications are required to make arrangements with their respective agencies regarding additional training and testing costs as soon as possible. Failure of any person to achieve required certification may result in a temporary suspension from additional "comprehensive" training opportunities.

Connecticut WAP has developed specific policies and tracking documents to address DOE-prescribed QCI policy for administering quality control inspections. Please see the attached Connecticut WAP Quality Work Plan.

An Independent QCI is an individual who has no direct involvement in prior work on the home either as the Energy Auditor or as a member of the installation crew. A Grantee or DOE-approved representative or third-party QCI will inspect at least 10% of all completed units.

An Auditor/ AQ CI is the Auditor who performs the initial audit and creates the work order. They may also perform the final QCI inspection, although it is preferred for these to be two separate individuals. The auditor cannot be involved in the actual installation of measures at the site.

Connecticut WAP will provide specific tracking to evaluate the QCI Inspection process to document the range of controls outlined in WPN 22-4. Each CT WAP QCI Form has the QCI list their name to ensure

that the individual inspecting the unit did not audit or complete any work on it.

CT WAP uses the Auditor/QCI model, and implements Final State QCI on a minimum of 10% of all completed units. In addition, CT WAP will conduct ongoing quality assurance monitoring to ensure that the individual serving as both the Auditor and the Inspector is able to effectively and consistently perform both tasks on a regular basis.

Final evaluations will be used for the assessment of the effectiveness of Auditors, Quality Control Inspectors, and installation services. If necessary based on observed patterns, disciplinary actions may be assigned as follows:

- Level 1: Subgrantee and/ or Subcontractor has routinely responded to corrective actions 100% effectively. No further action necessary.
- Level 2: Subgrantee and/ or Subcontractor has had marginal or insufficient results responding to corrective actions on initial responses. Subgrantee or Subcontractor ultimately addresses all concerns and demonstrates improvement. The Subgrantee or Subcontractor may be subject to increased monitoring and/ or inspections.
- Level 3: Subgrantee and/ or Subcontractor has failed to address corrective actions and/ or deficiencies repeatedly. This can result in temporary suspension and disallowed costs.
- Level 4: Indefinite suspension, defunding of Subgrantee, and Subcontracted resources.

For more information on Final Inspection policies, please review the section “Monitoring and Quality Assurance” on the CT WAP Operations Manual.

V.6 Weatherization Analysis of Effectiveness

All Connecticut analyses of effectiveness will be conducted in compliance with 10 CFR 440.14(c)(6)(i), DOE WPN 22-4 and the CT WAP Quality Work Plan (2026) requirements, CT WAP Weatherization Field Guide SWS Aligned Edition, and the current year State Plan/Master File. There is an ongoing evaluation process used to determine the overall effectiveness of each subgrantee. This is done through the annual monitoring processes that are outlined in DOE WPN 24-4 and through an ongoing review process including a bi-weekly performance overview based on the program’s main KPI’s, as well as:

- Review of the Monthly Report ensuring that all expenditures are accurately reported and within State -approved budget limitations;

- Review of Building Weatherization Reports (BWR) to ensure the NEAT, MHEA, or other approved auditing tool Audit list of recommended measures was followed, and to ensure costs of individual measures are within the audit estimate.

The frequency of measures installed is tracked for each subgrantee to ensure statewide consistency. Average job costs are tracked to ensure that the Subgrantee is within State mandated limits. Jobs are tracked regionally to ensure adequate and fair coverage across the entire state.

The above process culminates in a payment authorization to the Subgrantee. Any problems or questionable trends are flagged for review or investigation by the monitoring state.

The Grantee also reviews Subgrantee procurement practices of both materials and subcontracting to assure costs are fair and relatively consistent across the state at the time of procurement as part of continuous monitoring.

The goal is a uniformly effective WAP throughout the entire state. Each client served, regardless of their town or serving Subgrantee, is expected to receive the same quality service. The State reserves the right to terminate or alter the service area of any subgrantee that cannot meet statewide standards.

Patterns noticed during State monitoring site visits will be used to determine Training and Technical Assistance (T&TA) needs (regular and comprehensive) at the Grantee and Subgrantee levels. Site visits of specific Subgrantees will be increased if deemed necessary to ensure that training has had the desired effect of reducing issues and corrective actions in the field.

During major monitoring activities, proper delegation of financial responsibilities is confirmed, as well as record retention policies and other financial systems. During regular monitoring activities as well as major monitoring, the Grantee reviews the tracking of technical compliance such as Lead Renovation, Repair, and Painting (LRRP) and Health and Safety.

Routine monitoring consists of file reviews, which track installed measure costs. In major monitoring, the State reviews the Subgrantee's procurement procedures as well as analysis of installed measures during file review to assure measures are being invoiced accurately.

The State is continuously improving its management of WAP by attending NASCSP conferences and orientations, participating in Regional NASCSP conference calls, learning best practices from other states, and leveraging the help and knowledge of the DOE WAP program officer.

Connecticut WAP is continually working with in-state utility partners to evaluate installed measures costs and to utilize a streamlined approach to deliver effective and quality weatherization and energy efficiency services to the Connecticut low-income community. The utility administered Home Energy Solutions – Income Eligible (HES-IE) program serves approximately 7,800 income eligible homes per year. CT DEEP and the utilities are continuously working to standardize requirements between the service delivery models. Additionally, CT WAP is working on coordinating with our utility partners to analyze the realized energy savings of the installed weatherization measures more comprehensively.

A continuous improvement approach is used to monitor the Subgrantee(s). DEEP is committed to monitoring the effectiveness of the Subgrantee(s) to improve service delivery.

V.7 Health and Safety

Connecticut WAP has implemented policies and procedures to address health and safety considerations that are in compliance with 10 CFR 440.16, 10 CFR 440.18, 10 CFR 440.21, WPN 22-7, and WPN 19-5. These are included in the 2026 Connecticut WAP Health and Safety Plan, the CT WAP Operations Manual, and QWP 2026 as attachments to this application. CT WAP tracks and budgets Health & Safety funds separate from Program Operations.

Please see the attached PY 2026 Grantee Health & Safety for a comprehensive overview of Health and Safety as well as the Operations Manual, CT WAP Forms, and Hazard Identification forms found at the following link: [Subgrantee Documents for Connecticut Weatherization Assistance Program](#)

V.8 Program Management

V.8.1 Overview and Organization

WAP administrative policies and procedures are outlined in the CT WAP Operations Manual, which is regularly updated and publicly available online on DEEP's webpage.

The U.S. DOE Weatherization Assistance Program is administered by the State Grantee, Connecticut DEEP (Department of Energy and Environmental Protection). The CT WAP is administered by the Bureau of Energy and Technology Policy (BETP) and is overseen by the Deputy Commissioner. BETP's Bureau Chief oversees the operations of the DEEP staff and Subgrantees delivering the program.

DEEP also has oversight of the ratepayer-funded utility program Home Energy Solutions – Income

Eligible (HES-IE). This energy program serves the same low-income population as WAP in Connecticut and currently cost shares many measures reported on DOE WAP units. The program administrators of WAP and HES-IE are collaborating to align these two programs to more effectively serve the low-income population of Connecticut. The goal of aligning these two programs is to offer low-income residents a more comprehensive list of both health and safety and energy-saving measures.

DEEP does not administer the Connecticut Energy Assistance Program (CEAP). CT's Department of Social Services (DSS) is responsible for administering CEAP. DEEP works closely with DSS due to the simultaneous intake of clients into both programs and is developing the integration of some services with LIHEAP services.

BETP administers the State Energy Program (SEP) grant. Housing and Urban Development (HUD) and other housing programs are administered through the Connecticut Department of Housing.

DEEP does not intend to conduct a competitive process to select Subgrantees to participate in the current program cycle. Current Subgrantees were competitively selected and have contracts through June 30, 2028.

V.8.2 Administrative Expenditure Limits

Not more than 15 percent of any grant made to a State may be used by the Grantee and Subgrantees for administrative purposes in carrying out duties. Not more than 7.5 percent may be used by the State for such purposes and not less than 7.5 percent must be made available to Subgrantees by States. In its annual plan, a State may provide up to an additional 5 percent for administrative costs to recipients of grants of less than \$350,000. To do so, the State must determine that such recipient requires additional funding to effectively implement the administrative requirements established by DOE pursuant to 10 CFR 440.18 (e) and 10 CFR 440.18(d).

For PY26, CT WAP will be distributing the administrative allocation as follows:

- DEEP – 2.25%
- Subgrantee(s) – 12.75%

V.8.3 Monitoring Activities

Connecticut's monitoring approach will include an administrative review of documents and reports related to the organization, operation, and performance of service delivery, as well as monitoring for technical compliance with standards, performance measures, and applicable codes and other policies related to the installation of materials, and Fiscal Audit of financial stability and

accountability.

Connecticut Program Year 2026 WAP budget allocates \$15,000 for financial audits, \$7,500 each

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for CET and CRT. However, in accordance with 2 CFR 200.425(a)(2), only Subgrantees that expend more than \$1,000,000 in total federal funding annually will receive the financial audit funding identified in CT's SF-424a Budget.

Note: All Monitoring activities will be conducted in compliance with DOE Guidance WPN 22-4, WPN 24-4, the Connecticut Weatherization Assistance Program Quality Work Plan (2025) requirements, Connecticut Weatherization Assistance Program Weatherization Field Guide Standard Work Specifications Aligned Edition, and the current year State Plan/Master File. For further information, please refer to the CT WAP Operations Manual.

CT WAP recognizes DOE's Guidance and references the following CT WAP documents regarding specific monitoring activities:

Programmatic and Management Monitoring:

- The CT WAP Operations Manual
- The CT WAP SWS-aligned Field Guide.
- WPN 22-4: Subgrantee Monitoring – Attachment 1 "Updated Checklists and Operations Manual"

Note: During the current program year, CT WAP will continue to adjust monitoring activities commensurate with the quality of work and the progress demonstrated by the subgrantee. Subgrantee monitoring will accept WPNs 22-4, WPN 24-4, and all other applicable DOE Guidance. CT WAP will perform comprehensive monitoring of Subgrantees on an annual basis. Records reviews at the subgrantee's office may involve multiple visits and may be focused on regions of the state, resulting in separate annual monitoring events according to region.

In alignment with WPN 24-4, more frequent monitoring of Subgrantees that have been identified as having significant deficiencies will be conducted. The individual monitoring activities are structured as follows:

- Annual Comprehensive Administrative/ Fiscal Monitoring based on the current program year's allocation.
- Technical Site Visit Monitoring of at least 10% of all completed units,
- Desk Monitoring, which consists of a file review of at least 10% of all completed units.

Note: While this exceeds DOE minimum standards, the recent audit tool implementation and QWP-25 standards compliance warrant additional activities to ensure the best outcomes. Actual program year totals may be adjusted to DOE minimum levels if mid-year assessments

indicate consistent acceptable performance at any Subgrantee.

CT WAP will utilize contracted Technical Advisory services via a T&TA Subgrantee to conduct quality control inspections of at least 10% of all completed units. As part of our contract(s) with the Subgrantee(s) and as a part of our annual monitoring visit(s), CT WAP will require the Subgrantee to submit their most recent 2 CFR 200 Financial Audit. These financial audits will be reviewed and approved by DEEP's Business Office. CT WAP will continue to contract technical monitoring services with T&TA funds to complete all state level QCIs, field monitoring, and desk monitoring services. The provider(s) of these services will continue to provide monitoring and support services under the direction of WAP program administrators. CT WAP anticipates that Subgrantees will utilize components of the DOE prescribed standard options to conduct QCIs as defined in WPN 22-4.

The Grantee developed QCI process will provide for increased flexibility and effectiveness in conducting all QCI and monitoring activities as follows:

- Each inspector will document the relationship between the individual performing the QCI to the work including independent status, role in the audit process, and role in any measure installation(s).
- Each inspection will contain documentation and verification that each QCI is performed in an impartial and complete manner.
- Each inspection is subject to Grantee level assessment of effectiveness and compliance with program inspection policies and contains documentation of any findings related to the quality of the inspection and impartiality of the inspection process.
- The Grantee will maintain tracking of all Grantee QCI activities to include all aspects of the Grantee developed QCI process, subsequent corrective actions, and final outcomes.

Contracted resources:

- Two (2) Contracted entities who serve as Quality Control Inspector/Technical Monitoring Compliance Consultant/Technical Support
- Full time
- Compensation: 100% Grantee T&TA (To include POV Travel & Expenses)

Weatherization State Team Members and their responsibilities for monitoring:

Position	Research Analyst
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Office	Office of Affordable Housing Energy Retrofits (AHER)
Responsibilities	Programmatic performance and compliance
Compensation	State and Federal funding
Travel/Training Funding	100% Federal funding

Position	Research Analyst
Office	Office of Affordable Housing Energy Retrofits (AHER)
Responsibilities	Programmatic performance and compliance
Compensation	State and Federal funding
Travel/Training Funding	100% Federal funding

Position	Research Analyst
Office	Office of Affordable Housing Energy Retrofits (AHER)
Responsibilities	Programmatic Performance and Compliance
Compensation	State and Federal funding
Travel/Training Funding	100% Federal funding

Position	Grants and Contract Specialist
Office	Office of Affordable Housing Energy Retrofits (AHER)
Responsibilities	Fiscal monitoring and contracting
Compensation	State and Federal funding
Travel/Training Funding	100% Federal funding

Position	Supervising Accountant
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Office	Central Business Office/Federal Grants Division
Responsibilities	Fiscal monitoring and compliance
Compensation	State Funding
Travel/Training Funding	100% Federal funding

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Annual Administrative/Fiscal Monitoring is performed via a team approach made up of Technical and Fiscal Monitoring personnel utilizing the DOE WAP Onsite Monitoring Field/Subgrantee Checklist as well as the following instruments prepared specifically for use in Connecticut:

- CT Subgrantee Programmatic Monitoring Tool
- CT Subgrantee Fiscal Monitoring Tool
- CT File Review Form and onsite Field Review CT WAP Field Visit Form

Annual Comprehensive Administrative/Fiscal Monitoring,

All deficiencies, related findings, and corrective actions are reported to each Subgrantee's Executive Director, Program Director, and Chief Financial Officer with specific direction for corrective actions, response times, terms and conditions, and consequences in the event of failed compliance.

CT WAP reserves the right to disallow any costs associated with any discrepancies identified during any Technical or Fiscal monitoring activity.

Subgrantees are subject to removal from the program and will have all remaining allocations defunded if they remain consistently noncompliant with either State or Federal requirements. Such findings may include, but are not limited to:

- Consistent production of substandard workmanship, with no measurable improvement.
- Inadequate fiscal and/or management policies, procedures, enforcement, or controls.
- Failure to improve current management systems within State-mandated time frames and/or implementation of corrected policy, procedures, and practices.

Note: Any Subgrantee removal shall result in disqualification for following program year participation.

All Subgrantee monitoring is routinely tracked and analyzed to provide accurate classification of findings to detail specific incidents, resolution timelines, and training requirements necessary for incremental and annual planning and reporting.

By consolidating multiple site visits and file review visits, DEEP aims to optimize the number of onsite visits needed statewide.

Additional monitoring will be conducted if the Subgrantee(s) is/are found to have difficulties in management, programmatic, technical, or compliance related delivery of services.

Flexibility in scheduling has been factored into planning to allow additional visits or training as necessary. Additional information will be included in the attached T&TA Planning and Reporting template.

CT WAP routinely and systematically reviews monthly reports and conducts desk reviews of Building Weatherization Reporting to identify any potential monitoring needs. The contracted Technical Monitoring Compliance Consultant(s) may also review these reports to aid CT WAP in identifying specific training and/or monitoring needs.

The contracted Technical Monitoring Compliance Consultant(s) select(s) projects in various stages of completion and for specific measures to further evaluate Subgrantee's effectiveness and training needs.

CT WAP makes efforts to evaluate multiple Subgrantee personnel and contractors engaged in the weatherization process from intake through completion. CT WAP utilizes the following forms for all Technical Monitoring activities to ensure that all technical requirements are met:

- Initial Audit Observation Form
- In-Progress Work Observation Form
- Quality Control Inspection Form
- Project File Review – Desk Monitoring
- Project Site Review – Field Monitoring
- Section 2.9 of the CT WAP Operations Manual – Required Client File Documentation
- DOE WPN 22-4

Note: All Technical Compliance Monitoring will be conducted in compliance with DOE WPN 22- 4 and the CT WAP Quality Work Plan (2025) requirements, CT WAP Weatherization Field Guide SWS Aligned Edition, and the current year State Plan/Master File and US DOE WPN 22-7 Health and Safety Guidance.

CT WAP maintains individual production and cost per unit metrics for each individual Subgrantee and considers these factors in all monitoring activities.

All deficiencies, related findings, and corrective actions are reported to Subgrantee program management within 30 days of completed monitoring events, except for Health and Safety findings. Health and Safety

findings, which may present an imminent danger to the occupants, are immediately reported to Subgrantee management to immediately resolve all issues.

Written monitoring reports delivered to the Subgrantee(s) will contain specific details for corrective actions and response times not to exceed 30 days of receipt of notifications. Any response directed to the Subgrantee(s) fiscal management that fails to address corrective action requests within the given time limits will result in disallowed costs of any stated discrepancy. Any disallowed cost will be deducted from subsequent monthly invoices until resolved to the satisfaction of CT WAP management. Furthermore, a Subgrantee's failure to respond to a corrective action plan for significant findings will result in an increased number of monitoring visits and an increased frequency of visits until the corrective action is resolved and the State is fully satisfied.

Subgrantees are subject to removal from the program and will be defunded all remaining funds if found to be consistently noncompliant with Federal and State requirements. Such findings may include, but are not limited to:

- Consistent production of substandard workmanship with no measurable improvement, and/ or;
- Inadequate fiscal and or Management policy, procedures, enforcement, and controls.

Significant findings such as waste, fraud, or abuse will be reported to DOE immediately.

Note: Any Subgrantee removal shall result in disqualification from following Program Year participation.

All deficiencies, related findings, and corrective actions are compiled and tracked to provide an individual assessment of effectiveness for each Subgrantee.

Measures, training needs, and outcomes are routinely reviewed to ensure that corrective actions are effective and continuous.

V.8.4 Training and Technical Assistance Approach and Activities

DOE allocates T&TA funding to the states which can be used to support state program operations such as analysis, measurement and documentation of program performance, skill development, and local monitoring to improve program effectiveness.

To ensure consistent delivery of high-quality weatherization services nationwide, DOE consulted with weatherization professionals to identify and develop a set of core competencies for the various staff positions that implement WAP including the types of training required to increase levels of core competencies for these job categories. The goal is to increase the levels of competencies and expertise in the workforce so that every house that is weatherized receives appropriate and properly

installed cost-effective measures.

Although many of the core competencies and job classifications identified are universal, not all the core competencies will be appropriate for the job classifications identified in every state. For instance, testing, repairing, or replacing heating and cooling systems in Connecticut requires certification or licensing from the State. Therefore, the auditor or weatherization installer may not be able to conduct this work. In Connecticut, work on heating and cooling systems must be subcontracted to a licensed contractor outside of WAP. However, just because a heating, ventilation, and air conditioning (HVAC) contractor is licensed by the state does not mean they possess the competencies required by WAP. Additional training for these contractors may be required or someone at the local agency must be competent in specifying what work the contractor must complete and to verify that the completed work complies with WAP's technical standards.

The DOE also places certain requirements for training and certification including General Hazardous Materials Awareness and specialized curriculum as follows:

- Lead Safe Weatherization (LSW) training for all workers (optional)
- At least one onsite worker must be an EPA Certified Renovator (RRP)
- EPA RRP training for all State monitors (required)

Connecticut WAP is committed to increasing the its network's expertise. Numerous program training opportunities and hands-on workshops have been conducted with the goal of maximizing energy savings, minimizing production costs, improving the quality of work, and fostering management expertise. In Connecticut, T&TA funds are primarily used to train state weatherization staff on program operations, management, and technical topics. Staff members also receive training at national and regional conferences, regional and state training centers, Grantee provided workshops, and in the field.

Quality Control Inspection personnel must complete and pass a DOE-approved Comprehensive Training and possess the knowledge, skills, and abilities listed in the National Renewable Energy Laboratories (NREL) Job Task Analysis (JTA) and become certified by the Building Performance Institute (BPI) as a Home Energy Professional Quality Control Inspector. Supervision must be provided to all personnel who do not possess the proper certifications by an individual who currently holds the necessary certifications.

CT WAP follows DOE WPN 22-4 and will implement enhanced training, planning, and tracking that defines training and certification intervals for new hires and the incumbent workforce that are aligned with current NREL Home Energy Professional (HEP) certifications and the position for which the worker is employed.

All comprehensive training is to be provided through an IREC-accredited service provider. In June of PY25, DEEP's previous contract with Green Jobs Academy ended. DEEP is currently in the process of adding training responsibilities to its current contract with the Association for Energy Affordability

(AEA). AEA is an IREC-accredited training provider that will provide the CT WAP Subgrantees with training specific to each job task as well as specialized training.

CT WAP will strive to ensure that each Subgrantee has minimum of two Energy Auditors and two Quality Control Inspectors to audit and inspect the goal number of units each program year.

Client Education

Client education is a key component of CT WAP's services. It is a goal of the program that those served by the program understand the energy upgrades being installed in their homes. Each of the various agents involved in CT WAP has a role to play in educating the household about their energy conservation and the maintenance of the improvements brought about by weatherization.

Subgrantees are responsible for educating clients throughout the weatherization process, from application to final inspection. This includes:

- Providing clients with an initial overview of the weatherization program, eligibility, rules, and the process
- Providing clients with written educational information regarding potential or identified health and safety issues in the home along with information about what must be done to remediate the issue(s)
- Giving clients all paperwork and manuals associated with installed equipment
- Educating clients on the proper usage and maintenance of installed equipment, including the implications of improper or unsafe operation
- Explaining in layman's terms the various weatherization services and how they will benefit occupants of the home
- Providing information regarding the proper procedures for disposing of bulk fuel storage
- Answering questions during the weatherization process
- Referring the client to additional resources outside of WAP, if necessary

The Energy Auditor can provide more in-depth information about the energy conservation measures that the household can take. This includes:

- Asking the client about any energy-related problems they have noticed in the home
- Providing brochures or other information not provided during initial intake
- Educating the client about testing to be completed in the unit, the results, and what this may mean regarding energy efficiency and cost savings

- Explaining the importance of health and safety equipment (i.e., smoke alarms, CO detectors, etc.)
- Providing basic tips of energy conservation

The subcontractor plays a crucial role in educating the client, particularly when new equipment or materials have been installed. This includes:

- Explaining the proper care and maintenance of new measures/ appliances installed in the home
- Leaving manuals and other written educational materials with the client
- Demonstrating to the household the operation of newly installed appliances
- Answering any questions from the client(s) at the time of installation

The final inspector has an important role to ensure that the family understands what weatherization work was completed. This includes:

- Interviewing the client as to the household's satisfaction with weatherization work
- Inquiring and answering any follow-up questions regarding the work completed
- Assessing the household's knowledge of maintain the installed measures and, if applicable, re-instructing the client

V.9 Energy Crisis and Disaster Plan

Energy Crisis

For this plan, an energy crisis is defined as a significant disruption or shortage in the supply of energy resources, which might lead to widespread shortages and/or increased prices.

The primary energy crisis that low-income households face in CT is an inoperable heating system during the heating season defined as October 1 - April 30. WAP-eligible households with inoperable heating systems will receive priority service delivery. Service providers will conduct a site-specific health and safety audit, energy efficiency assessment, and heating system diagnostic test. If the home is eligible for a heating system repair or replacement, the Subgrantee will solicit proposals from contractors for the repair or replacement. CT WAP Subgrantees will ensure that appropriate actions are taken to address heating-related crises in a timely manner and deliver high-quality and comprehensive weatherization to all sites receiving emergency heating services. Any emergency replacements that cannot be addressed by WAP shall be referred to DSS's Connecticut Energy Assistance Program (CEAP).

Disaster Planning

Connecticut has developed a State Response Framework (SFR) that outlines the roles and interactions of the State government with Federal, Local, Tribal, Non-Governmental, and Private Entities as well as the media and public in implementing emergency response and recovery functions in times of crisis. The framework describes actions to be taken and general responses to disasters that require statewide action. The current framework does not identify WAP as a resource for disaster response.

For weatherization purposes, a disaster is determined by a Presidential or Gubernatorial order declaring a Federal or State Emergency. The disaster may be caused by natural or man-made hazards and generally involves at least three phases: the crisis itself, the clean-up, and the rebuilding of the affected area.

In the event of a Federal or State-declared disaster, Subgrantees may continue to use DOE WAP funds to support typical weatherization activities. The Subgrantee can prioritize households that are in the in the Federal or state-declared disaster area as long as they meet one of the previously established prioritization criteria (Section V.3) for the program and as long as the household is free and clear of any insurance claims or other forms of compensation resulting from the disaster.

Please note that the following programmatic requirements still apply:

- ACPU limit(s) as defined by 10 CFR 440.18(a) and (b) and 42 USC § 6865(c)
- Allowable uses for WRF, as outlined in the Grantee Plan
- Requirements around incidental repairs (See 10 CFR 440.14(c)(6)(viii) for more details)
- Use of agency weatherization vehicles and/or equipment.
- Priority assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10 CFR 440.16(b)).

Allowable measures are limited to those contained within:

- 10 CFR 440
- DOE WPN 22-7
- DOE WPN 25-1

All Costs are to follow the rules applied to the Weatherization Assistance Program as stated in

- 10 CFR 200

- CT WAP Operations Manual
- Generally Accepted Accounting Principles (GAAP)

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include securing weatherization materials, tools, equipment, and weatherization vehicles or protection of local agency weatherization files, records, and the like during the initial phase of the disaster response. However, using DOE funds to pay for weatherization personnel to perform relief work in the community because of a disaster is not allowable.

V.10 Dispute Resolution Process

V.11 Investigating Allegations of Fraud, Waste and Abuse