

**U.S. Department of Energy**  
Weatherization Assistance Program (WAP)  
STATE PLAN / MASTER FILE WORKSHEET  
**Grant Number:** EE0009918, **State:** NM, **Program Year:** 2024  
**Recipient:** State of New Mexico-NMMFA

This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

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

**Definition of income used to determine eligibility:**

A unit shall be eligible for weatherization assistance under this part if it is 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, contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable State or local law at any time during the 12 month period preceding the determination of eligibility for weatherization assistance.

The 2022 US Census American Community Survey year estimates identified 178,437 family households in the state with incomes at or below 200% of the poverty level, the WAP eligibility limit. These households represent approximately 19% of the state's population of households.

Additionally, the 2022 US Census American Community Survey provides other significant findings about persons with incomes at or below the poverty level:

- 225,249 households contain one or more people under 18 years of age;
- Approximately 48,975 households contain children that were under six years of age.

From 2022 US Census American Community Survey regardless of poverty status:

- The number of units in which the elderly reside was estimated at 285,991;
- The number of units in which people with disabilities reside was estimated at 348,597.

New Mexico has three designated Rural Partner Networks: The Southwest NM Council of Governors region, Dona Ana region, and North Central Economic Development District. These three regions oversee the colonias housing issues and are exploring ways to designate funding to the colonias regions due to inadequate housing.

To be eligible for New Mexico Weatherization Assistance Program services, clients must meet the income criteria outlined in 10 CFR 440.22 or meet a minimum of one of the following criteria as outlined in WPN 24-3:

- Have a gross household income (total annual cash receipts) at or below 200% of the federal poverty level as established by the Director of the Office of Management and Budget (OMB);
- Receive cash assistance payments under Title IV or Title XVI of the Social Security Act or in accordance with applicable State or local law, at any time during the past one year preceding the determination of eligibility. Acceptable programs include:
  - a. Temporary Aid to Needy Families (TANF);
  - b. Supplemental Security Income (SSI);
  - c. Social Security Disability Insurance (SSDI);
  - d. Aid to Needy Disabled (AND);
  - e. Old Age Pension (OAP);
  - f. Supplemental Nutrition Assistance Program (SNAP);
  - g. HUD means tested programs at 80% AMI.

Describe what household eligibility basis will be used in the Program

**Eligibility Basis**

Before a unit is qualified for weatherization, the client must be approved. This approval process begins with receipt of an application. A NM Energy\$mart intake staff member reviews applications to ensure that clients qualify for the program. A client will not be qualified unless the following items are provided for the file. All eligibility documents must be maintained by the agency in client files and may be electronic or hard copies. Client files for single family must contain at minimum:

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- A completed application;
- Income verification criteria listed in **WPN 24-3**:
  - Documented verification from income sources;
  - Current income tax return;
- Proof of ownership and/or landlord sign off
- A current utility bill for gas & electric service.
- **Recertification must be done when 12 months of time lapses. Agencies will contact clients with the highest priority ranking in each county for recertification prior to scheduling assessments for those counties.**

**Multifamily Eligibility**

Multifamily income eligibility can be verified by using four different methods:

1. Privately owned buildings receiving tenant-based assistance. Subrecipient must verify residents that hold Section 8 Housing Choice Vouchers through the property owners or residents themselves. Percentage of eligibility is determined by the ratio of these vouchers to total units. **Section 8 vouchers do NOT certify the entire household. The property owners must verify that either all adults in the unit have these vouchers, or the household income.** This process will show more than 67% of the tenants are Section 8 holders and the Property Owner certifies to that fact;
2. PHA operated buildings on the following lists to be income eligible: **ARCHIVED Eligible HUD Multifamily Buildings Spreadsheet | Department of Energy**;
3. PHA operated buildings receiving assistance and confirmed by MFA to be eligible;
4. Privately owned buildings receiving project-based assistance and confirmed by MFA;
5. Tennant verification by obtaining necessary documents from each individual tenant.

WPN 17-4 procedures must be followed to certify buildings. The property owner or authorized agent of the property must sign a Self-Certification form attesting that:

The property owner or authorized agent maintains certified income records for households residing at the property.

1. The property owner or authorized agent certifies that all the information provided with the certification request is true and accurate;
2. The property owner or authorized agent has determined that at least 66 percent of the units in each building (or at least 50 percent of the units for 2- and 4-unit buildings) have certified incomes that are at or below 200 percent of the current federal poverty level based on household size;
3. The property owner or authorized agent has reviewed its current certified income records.

All documentation of **multi-family** eligibility must be provided to MFA before project approval and kept in the project folder to be made available during monitoring, invoice payment, or inspections. **This documentation must at minimum include:**

- **Property owner self certification letter for income, and eligible alien status.**
- **Back up documentation for income certification.**
- **Landlord agreement.**
- **Unsigned contract between property owner and agency.**
- **Estimated project cost breakdown with all anticipated funding sources listed.**

**Single Family Eligibility**

Proof of ownership may be in the form of:

- Evidence of mortgage payments;
- Property deeds or proof of tax payment.

For renters, rental agreements from landlords must be obtained and accompanied with a landlord agreement. Intake staff also reviews the documentation for demographic information such as:

- Proper identification of head of household;
- Other household members are identified as applicable for disability or child status;
- Proof of disability (Medical documentation is requested to ascertain disability status).

Documentation proving eligibility must be verified by the agency prior to weatherization, kept in the client file, and made available to MFA upon request. Eligibility documentation is updated at least annually.

**Notification:**

Applicants are immediately notified of their eligibility status. Ineligible applicants are notified in writing, stating the reason for ineligibility.

**Reweatherization**

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Units may be reweatherized if fifteen years have passed from the month of the final inspection. Units with higher ranking points that have never been weatherized in the same county, will have a higher preference over units that have been previously weatherized.

For multifamily properties, the service provider contacts MFA to check within their online invoicing system to determine if a property has been weatherized within the last 15 years. The name and address of the property is run through the system for previous dates of weatherization. The property is also viewed on Google Maps to verify the address is correct, and nearby streets are also viewed within the system. If it is determined that no weatherization using federal dollars has occurred with the property within the 15 year period, the service provider is given approval to proceed to the next step.

**Client Appeals Policy**

All subrecipients shall establish and maintain a policy allowing a client to appeal a denial of service in the agency's weatherization program manual. In addition, the agency **must post the policy on their website**, so clients have access to submit a formal appeal for denial of services. The policy must clearly state how the client can initiate an appeal, who will make the determination and the timeline for review.

Steps that should be part of subrecipient's policy include:

When the agency defers a unit or otherwise denies a client weatherization services, the agency must provide a formal letter to the client indicating the specific reason (s) for the denial.

If an appeal is received, the agency should have a minimum of a one tier review of the client's application by a staff member in the organization with a supervisory position. The person reviewing the appeal must be someone other than the person who made the initial decision to deny the client services. The reviewer must also be familiar with the regulations regarding eligibility.

The person reviewing the appeal should compare the provisions of the relevant regulation(s) to the application, speak to the agency staff involved in the initial denial, and speak to the client before making a decision.

If a judgement is made that the original determination was correct, a formal letter must be sent to the client outlining the reason for the appeal and once again articulate why services were denied. The letter should include the process that took place to confirm the denial.

If the person reviewing the appeal determines the appeal is granted, the client should be provided a letter stating such and detailing when their unit will be weatherized. The letter should include the process that took place to confirm the approval.

**Describe the process for ensuring qualified aliens are eligible for weatherization benefits**

MFA requires subrecipients to collect proof of a social security number/identity for at least one adult living in the residence. If a social security number is not available for the remaining members of the household, a Non-Citizen Immigrant Status for all other members of the household is required. Immigrants are eligible under the current law referenced on the U.S. Department of Health and Human Services website. Questions regarding immigrant eligibility may be found within the following Health and Human Services guidance: <https://www.acf.hhs.gov/ocs/policy-guidance/liheap-im-hhs-guidance-use-social-security-numbers-ssns-and-citizenship-status> and <http://aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml>.

Multifamily property owners must certify that the residents have provided proof of a social security number/identity for at least one adult living in the residence from the clients in rental units. MF property owners may provide the required demographics as an alternative to supplying individual birthdates for an entire project, otherwise a birthdate must be provided. **This certified document must be supplied within 5 business days after project approval and contract being signed between multifamily provider and property owner.**

The subrecipient passes the information through MFA's on-line system which has a secure server where the information is encoded. All data is redacted after it has been put into the online system. The online system scrambles the data for protection of the client.

**V.1.2 Approach to Determining Building Eligibility**

**Procedures to determine that units weatherized have eligibility documentation**

**Procedures to determine that units weatherized have eligibility documentation**

A unit is eligible for weatherization assistance if it is occupied by clients that meet the eligibility requirements in Section V.1.1. In addition, the client must have evidence of mortgage payment, property deed or proof of tax payment to be qualified. For renters, rental agreements from landlords must be obtained and accompanied with a landlord agreement. These documents must be kept in the client file and verified upon desk monitoring, monitoring and Quality Control Inspections (QCI).

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Describe Reweathering compliance

**Re-weatherization**

New Mexico does not encourage reweatherization of units however, if a unit or project has not been weatherized with DOE, LIHEAP, or other federal funds prior to 15 years of the current date, reweatherization will be allowed under the below conditions.

- A DOE approved energy audit must be run on the unit;
- All health and safety issues must be addressed;
- When applicable leverage funding for any measure that qualifies will be allowed;
- The subrecipient must determine that the applicant is eligible;
- There are no other applicants with higher ranking/priority residing in the same county.

If federal funds have been used to improve the conditions of the structure, and the work included measures not specific to weatherization but the improvements save energy, that does not preclude the unit from receiving full weatherization services.

Households located in a disaster area would be considered a priority for weatherization as long as the households are eligible, meet one of the ranking priorities, and are free and clear of any insurance claim resulting from damage incurred from the disaster.

All units that have received weatherization using any funding source since 2004, have been tracked by MFA's online system. All units are assigned a unique client number. When an application is received by intake, it is first entered into the online system to determine if the unit has been previously weatherized and if so, the date. If the online system shows the unit has been previously weatherized, the unit is deferred until 15 years has passed from the date of final inspection.

For multifamily properties, the service provider contacts MFA to check within their online invoicing system to determine if a property has been weatherized within the last 15 years. The name and address of the property is run through the system for previous dates of weatherization. The property is also viewed on Google Maps to verify the address is correct, and nearby streets are also viewed within the system. If it is determined that no weatherization using federal dollars has occurred with the property within the 15 year period, the service provider is given approval to proceed to the next step.

Describe what structures are eligible for weatherization

**Eligible Structures**

Housing types qualifying for weatherization include site built, mobile homes, shelters, and multi-family buildings.

Non-traditional dwelling units such as shelters or dwelling units sharing a wall with a business will be discussed with the DOE project officer prior to commencement of the project and full caution will be exercised to be sure the particular units are eligible. Weatherization of non-stationary campers and trailers that do not have a mailing address associated with the eligible applicant are not eligible and will not be allowed.

Buildings that have a major deficiency in their structure or condition that makes weatherization impractical

or not cost effective, may be eligible for other funding to first mitigate these issues. Subrecipients must explore all funding options such as weatherization readiness before deferring a unit.

Health and safety issues requiring more than what is allowed by WPN 22-7, or our Health and Safety Plan, will be deferred only if other funding options are not viable. The current Health and Safety Plan lists conditions of deferral that include code violations, fuel leaks exceeding the threshold, incidental repairs that cause the cumulative SIR of the building to be less than one, roofing and other structural issues, most of which can be remedied by weatherization readiness funds.

If the area is known to have redevelopment plans then weatherization will be deferred until redevelopment is complete.

All site built and multifamily units 45 years old or older will need SHPO clearance prior to weatherization. The SHPO programmatic agreement is uploaded as an attachment.

Describe how Rental Units/Multifamily Buildings will be addressed

**Rental Units**

Subrecipients must ensure that single family rentals follow WPN 22-13 and the five points below:

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1. Benefits of weatherization services accrue primarily to the low-income tenants;
2. The tenants have a way to appeal if they feel that the rent has increased as a result of these services and the landlords provide a statement notifying tenants of this procedure;
3. No undue or excessive enhancement shall occur to the unit;
  1. **Work based off an energy audit is not considered undue enhancement.**
4. Rent and permission of the building customers or authorized agents must be obtained before commencing work;
5. The customer or authorized agent must sign a statement that rent may not be increased for a minimum of one year unless increases are demonstrably related to matters other than weatherization work.

Single family rental units qualify for weatherization as long as the landlord agrees to the weatherization and signs a waiver stating that rents will not be raised on the units for a minimum of one year unless those increases are demonstrably related to matters other than the weatherization work performed.

To ensure that no undue or excessive enhancements are made to the unit, a NEAT or MHEA audit must be run on the unit prior to the scope of work being outlined.

The necessary steps that must be taken to ensure proper documentation for weatherizing a single family rental unit include:

- An application must be completed by the client;
- Proof of income must be provided;
- Proof of a lease must be obtained;
- Current copies of the clients gas and electric bills must be obtained;
- Written permission must be obtained from the landlord/agent;
- Subrecipient must obtain certification from the landlord that the rent of the unit will remain the same for at least one year following performance of weatherization work;
- MFA will monitor compliance with this policy only to the extent of the 5% to 10% sample monitoring;
- MFA's monitoring will include rental projects weatherized through the Program.
- **Certification must contain guidelines that describes what will happen if the rent does increase. This must include details about how the tenant can notify or file a complaint with MFA should the rent increase within 12 months.**

#### Multifamily Rental Units

Multifamily(MF) Rental units **that are defined as five units in a building or more**, qualify for weatherization as long as the clients that are housed in the property qualify for weatherization. The MF agency may ask the customer/agent for a contribution of 20% of the weatherization materials. The customer/agent must sign a document agreeing to have weatherization services, that includes a waiver stating that they will not raise the rent on the units for a minimum of one year unless those increases are related to matters other than the weatherization work performed.

To ensure that no undue or excessive enhancements are made to the unit, a TREAT audit or approved priority list, depending on the building structure must be run on the complex prior to the scope of work being outlined.

The necessary steps that must be taken to ensure proper documentation for weatherizing a multi-family rental unit include:

- Obtain written permission from the customer or authorized agent;
- Verify that no less than 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multi-family buildings) of the units in the building are eligible units, or will become eligible units within 180 days;
- Ensure that 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;**
- By way of use of the energy audit, subrecipient must make certain that no undue or excessive enhancements are made to the units;
- Completed applications must be obtained from each of the clients in the rental units or
- Customer (property owner or manager) must fill out applications, project application templates and all forms to sign for tenants since they have the information on file;
- Current copies of gas and electric bills must be obtained from *some* of the rental units or supplied by the management to prove the utility is serving the property or **provide documentation that shows this, such as Tenant Income Certifications (TIC);**
- The multifamily audit process must be followed and include the detailed scope of work, photos, and regular meetings between MFA, subrecipient, and multifamily building management or customers.
- **Subrecipients must follow WPN 22-12.**
- **Tenants will be provided with MFA's contact information to notify MFA if their rent increases within one year.**
- **No work paid for by DOE funds may be reimbursed that is not listed on the TREAT audit generated scope of work. All items must show an SIR on the audit. Items that do not show an SIR must be listed as an eligible incidental repair or H&S measure.**
- **Agencies will include a chart that is like the one listed on page 7 of WPN 22-12 that describes the benefits to the tenants prior to project approval.**
- **Agencies must collect the necessary demographics from the property owners for both reporting purposes and to be included in the online report with invoicing. Before project approval, agencies must collect the necessary demographics to determine priority and client vulnerability to ensure the project is a higher priority than other eligible projects in the area.**

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Once the information above is in place an approval request, in the form of an approved energy audit, must be submitted to MFA in order to weatherize multifamily units larger than a 4-plex. A description of the process that determined the measures being installed must be provided with the audit.

Procedures for customer contributions are as follows:

- A 20% contribution commitment of the weatherization materials may be requested from the customer prior to commencement of the weatherization project. The customer contribution is based on the estimated costs from the energy audit;
- Customers have the option of buying down measures if it is determined by use a TREAT energy audits that the cost is not a cost effective measure;
- Customers are not responsible for any additional costs over the written estimate. If the actual (final) cost of the project is higher than the estimate, then the Program will pay the difference;
- For large projects estimated cost for an engineer's estimate of HVAC costs is added to the energy audit costs;
- A contract or Memorandum or Understanding (MOU) will be executed between the customer's representative and subrecipient prior to the commencement of work;
- The contract will detail the amount of the customer contribution;
- The contract will commit the customer to certify that he/she will maintain rent at the HUD designated affordable rent levels for a period of one year following performance of weatherization work;
- The subrecipient is responsible for obtaining the required landlord contribution. The amount of the contribution must be included in the project outline to MFA prior to project approval;
- Customer contributions received shall be applied to supplement the cost of the project and be reported on the statement of expenditures for the month in which they are received;
- MFA will monitor compliance with this policy as needed. This may include monitoring during unit inspections, technical monitoring, programmatic monitoring, desk monitoring, and upon initial project submittal.

Describe the deferral Process

**Deferral Process**

There are some situations in which an agency or contractor should not, or may choose not to, weatherize an otherwise eligible unit. MFA implements the deferral policy for all agencies administering the NM EnergySmart Program. This policy allows weatherization staff to defer services when certain conditions or circumstances exist. Under no circumstances will partial weatherization be allowed to be reported as a completed unit all units must be inspected by a Quality Control Inspection (QCI) and determined to be complete. Deferral is allowed under certain conditions; however, an agency should define its intentions at the time a condition occurs.

**Client Driven Deferral**

Subrecipients must defer weatherization under the following conditions where failure or the inability by the client to take appropriate actions occur:

- A unit received weatherization with federal funds (DOE, LIHEAP) within the 15 year period prior to the date of application;
- A unit is vacant;
- A unit is for sale;
- A unit is scheduled for demolition;
- The client is uncooperative with the weatherization agency or its contracted agent, either in demanding that certain work be done, refusing higher priority work which is needed, being abusive to the work crew or contractor, or by being unreasonable in allowing access to the unit. Every attempt should be made to explain the program and the benefits of the work. If this fails, work should be suspended and MFA should be consulted. In such cases, detailed documentation is required;
- Discrepancies found between the client application and observed conditions at the time of weatherization that cannot be resolved;
- There are illegal activities occurring on the premises;
- One or more occupants in a unit have been diagnosed with a contagious and life threatening disease and the subrecipient has determined the staff is unable to perform services safely;
- When a person's health may be at risk and/or the work activities could constitute a health and safety hazard, the occupant at risk will be required to take appropriate action based on the severity of the risk;
- If at any time prior to the beginning of work (work officially begins when the audit is performed) the agency or contractor determines that the client is no longer eligible or staff believe that circumstances may have changed, the unit shall not be weatherized until the situation is resolved;
- Loose dogs that can't be contained by the client;
- Unvented combustion appliances the client will not agree to replace.
- Any perceived danger to the agency or procured contractors for the unit/project.

When these situations occur, and work has already been performed on the unit, the agency will be unable to report it as a completed unit, but will be allowed to bill for expenses incurred.

**Structure Driven Deferral**

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NM strives to eliminate the number of structure driven deferrals by using Weatherization Readiness Funds (WRF) or other funding. The WRF Plan is located in the Misc. Section of the Annual File must be followed when using this funding category. The following conditions will trigger approval requests for the use of WRF or other funding prior to deferral:

- A unit proves to be dilapidated or structurally unsound and unsafe. Dilapidated units are classified as those which do not provide decent, safe, and sanitary shelter in their present state and have defects so serious and numerous that the repairs required to revive the structure to standard condition would not be economically feasible;
- A unit is deemed by the auditor to pose a threat to the health or safety of the crew or contractor;
- A mobile home is improperly installed (for example, without adequate supports);
- A unit is uninhabitable (for example, a burned-out apartment);
- A unit is affected by mold and mildew and the area affected is too large for the weatherization crew or contractor to remediate;
- **Asbestos abatement is needed;**
- The presence of animal feces and/or other excrement;
- There are rats, bats, roaches, reptiles, insects, or other animals/varmints that are present or not properly contained on the premises that could cause harm to the crew or contractor;
- Disconnected wastewater pipes;
- Hazardous electrical wiring where the cost to repair exceeds the SIR threshold of the unit.

In unusual situations where unique problems exist that are not similar to or covered above, MFA should be consulted.

Deferral Procedure:

If the subrecipient or its contractors cannot, or choose not to weatherize a unit, it must notify the client or owner/authorized agent by use of the Deferral of Services Form which should include:

- The nature and extent of the problem(s) and how the problem(s) relate(s) to the determination not to weatherize the unit;
- Any corrective action required before weatherization services can be initiated;
- A time limit for correcting problems so that weatherization services may be rescheduled;
- The name of the person or entity responsible for correcting the problem(s);
- The right of appeal;
- All documentation justifying the decision to defer services must be kept in the client file;
- Agencies must also keep an updated spreadsheet to track all referrals and deferrals.
  - **MFA will view these reports monthly and ask the agency for clarification for deferred units, particularly when the units have been deferred based on structural problems that could be mitigated through other funds.**

If MFA has been contacted by the client, agencies must send the date of anticipated follow-up in writing to MFA.

### V.1.3 Definition of Children

Definition of children (below age): **19**

### V.1.4 Approach to Tribal Organizations

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.

Low-income members of an Indian Tribe are eligible to apply for services under this plan. Low income members of an Indian Tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state.

### V.2 Selection of Areas to Be Served

The NM EnergySmart Program is a statewide program serving the 33 counties of New Mexico:

San Juan; McKinley; Cibola; Rio Arriba; Taos; Colfax; Los Alamos; Santa Fe; Mora; San Miguel; Union; Harding; Quay; Curry; Guadalupe; DeBaca; Roosevelt;



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Sandoval; Bernalillo; Valencia; Torrance; Catron; Grant; Hidalgo; Luna; Socorro; Sierra; Dona Ana; Lincoln; Chaves; Otero; Eddy; and Lea.

The Program also serves the Pueblos of Zuni, Acoma, Laguna, Santa Clara, Ohkay Owingeh, Taos, Picuris, Nambe, Tesuque, Pojoaque, Cochiti, Isleta, Jemez, San Felipe, San Ildefonso, Sandia, Santa Ana, Santo Domingo, Zia, Jicarilla Apache Reservation, the Mescalero Apache Reservation, and the Navajo Nation.

The 2022 US Census American Community Survey was used to compile the data used for the distribution formula. The funding allocations for each county and tribe are arrived by using a formula that is based on the number of households with elderly, young children, disabled and low income occupants, weighted by heating and cooling degree days. This formula follows a similar method as the 10 CFR 440.10 that describes state allocations. The at-risk population segments are averaged with the amount of low income households to determine the allocations for each county and tribe.

DOE, LIHEAP and State funds will be allocated statewide based on the allocation formula. Utility funds will be allocated to the areas served by the participating utility companies using the same formula.

All subrecipients that serve the above areas must be a CAA, public, or nonprofit entity, and have been selected through an RFP process.

**V.3 Priorities**

Subrecipients will be required to disseminate information to the public about the availability of services within 30 days of receipt of the contractual agreement and shall retain proof of such dissemination in their records.

Subrecipients are encouraged to update the waiting lists annually to include written notification to individuals on the waiting list to determine if they still desire services.

Updating the waiting list will allow the subrecipients to identify the higher-ranking clients regardless of the amount of time they have been on the waiting list.

Priority among eligible applicants for the receipt of NM EnergySmart services is established by the NM EnergySmart online system, which follows the requirements specified in CFR 440.16 (b).

Priority is given by assigning points to each of the four categories:

1. Elderly persons (a person who is 60 years of age or older) are assigned one to five points for each member based on the age;
2. Persons with disabilities are assigned one point for each member of the household with a disability;
3. Families with children (households with dependents not exceeding 18 years of age) are assigned one to five points for each member based on the age;
4. Households with high energy burden are assigned points in the following breakdown:

Energy Burden Percentage	Points
Between 6% and 10%	3
Between 11% and 15%	6
Between 16% and 20%	9
Between 21% and 30%	12
Between 31% and 40%	15
Between 41% and 50%	18
Between 51% and 60%	21
Between 61% and 70%	24
Between 71% and 80%	27
Between 81% and 90%	30
Between 91% and 99%	33
100% and over	36

Energy burden percentage is determined by dividing the energy bills by the household income. When a household uses 15% or more of the household income for energy usage, it is considered high energy burden.



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Ranking of "high residential energy users" is not used to determine priority for weatherization and do not receive priority points.

These categories are the only allowable priorities for the NM EnergySmart Program. Applicants that have the oldest certification date within the same ranking category may be serviced before other applicants within the same ranking category.

All housing types allowable within this Master Plan are included in the ranking system, however, housing type is not used as a priority and may not be used to determine priority.

Subrecipients are required to service the minimum number of homes in each county determined by the allocation formula no less frequently than every two years. This requirement can only be waived with a "high energy burden waiver". Counties that have a higher concentration of energy burden on the waiting list compared to other counties within the same service territory may qualify for a "high energy burden waiver" under the following conditions:

- Homes with the highest-ranking score in the county are weatherized first;
- The agency's production plan shows when the units in the remaining counties will be weatherized;
- Allocations for counties outside of the high energy burden county will be reduced evenly across all counties by a percentage of the original allocation;
- Other funding sources are fully leveraged to spread the funds as far as possible;
- It can be demonstrated at the time of waiver submission; the county has a greater need than the minimum allocated units due to a dense concentration of high energy burden within that county. MFA will work with the agency by providing wait lists and energy burden scores regularly to the subrecipients.

When an agency proceeds with weatherizing home within any given county, homes with the highest number of priority points must be weatherized prior to other homes.

#### V.4 Climatic Conditions

New Mexico is the 5th largest of the 50 United States with a total area of 121,599 square miles (121,365 square miles land and 234 square miles covered by water). Within the state's boundaries, elevations reach as high as 13,161 feet above sea level (Wheeler Peak in Taos County) and as low as 2,842 feet above sea level (Red Bluff Reservoir in Eddy County). The vast land area, variations in local topography and elevation disparities cause measurable differences in climate even within each of the two identified regions.

Likewise, Lawrence Berkley National Laboratories (LBNL) has identified three distinct climactic zones that are independent of the particular heating and cooling demand associated with the region, but still significantly affect the performance of units within each zone. The Department of Energy has defined three distinct climate zones that cover parts of New Mexico. These climate zones help approximate the performance of a building within each zone due to the effects of heating cooling demand, precipitation, and relative humidity.

The three zones identified in NM are three (hot dry), four (mixed dry), and five (cold). For the purpose of this analysis, the county seat or most populous city was used to determine the average degree days for each county where available. Data was collected for 12 months to arrive at annual totals.

HEATING DEGREE DAYS Base 68: Zone three has an average of 4,799 HDD; Zone four has 5,104 average HDD; and Zone five has an average of 6,305 HDD.

COOLING DEGREE DAYS Base 70: Zone three has an average of 1,419 CDD; Zone four has 956 average CDD; and zone five has 738 average CDD.

Air conditioning system replacement, repair, or installation is allowed in units of at risk occupants or where climate conditions warrant. At risk occupants are defined as an occupant that is over the age of 60, has respiratory ailments, allergies, pregnant, or other unique health concerns. Climate conditions that would warrant this allowance are areas that have an average of 800 Cooling Degree Days (CDDs) or higher using a base 70. For all other areas, medical eligibility from a third party medical professional proving at risk is required for any occupant.

Some counties are very large in square footage and may have a vast variance in elevation and both heating and cooling degree days. Therefore it is necessary to modify the weather files to a climate that most closely resembles the local area of the individual buildings receiving the weatherization work, and not just the closest city. Due to the variations in climate throughout the state, each energy audit shall be adjusted to most accurately model the climactic conditions of the individual location. Likewise, each energy audit shall indicate the model climate used (either a location included in the DOE approved auditing software, or the HDD base 68 /CDD base 70 factors). There are 26 different weather stations used throughout New Mexico for the energy audit. Two maps have been uploaded that describe the different climatic zones that are used in New Mexico.

#### V.5 Type of Weatherization Work to Be Done

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**V.5.1 Technical Guides and Materials**

The NM EnergySmart Program is committed to full compliance with 10 CFR 440.21(i) and WPN 19-4 for energy audit procedures. All installations are using materials that are listed in Appendix A of 10 CFR 440.

The NM EnergySmart Program has approached the goal of meeting the specifications, desired outcomes, and objectives of the Standard Work Specifications (SWS) with several successful methods. Our Subrecipients have been in the practice of utilizing the SWS at full implementation since PY 2014. Below is a list of manuals and guides with dates of issue. Each of these have been uploaded with the State Plan in addition to the links provided below.

- NM EnergySmart Administrative Manual [https://housingnm.org/uploads/documents/2024\\_AdminProgramandFieldManual\\_WAP.pdf](https://housingnm.org/uploads/documents/2024_AdminProgramandFieldManual_WAP.pdf)
  - Re-issued 03/30/2023, updated 03/27/2023
- NM EnergySmart Technical Standards [https://housingnm.org/uploads/documents/NM\\_EnergySmart\\_Tech\\_Standards\\_2024.pdf](https://housingnm.org/uploads/documents/NM_EnergySmart_Tech_Standards_2024.pdf)
  - Re-issued 02/28/24, updated 02/28/24
- Field Guide Single Family
  - Issued 02/16/2021, updated 02/16/2021
- Field Guide Mobile Homes
  - Issued 02/16/2021, updated 02/16/2021
- Field Guide Multifamily
  - Issued 01/08/2020, updated 01/08/2020
- Energy Audit Procedures [https://housingnm.org/uploads/documents/NM\\_Single\\_Family\\_Audit\\_Procedures\\_2024.pdf](https://housingnm.org/uploads/documents/NM_Single_Family_Audit_Procedures_2024.pdf)
- Re-issued 02/28/24, updated 02/28/24

There are four ways the documents are made available to our subrecipients:

1. We communicate with our subrecipients on a regular basis referencing the necessary materials. This communication is either triggered by a conversation, email, monitoring or new regulations;
2. Technical Committee calls are held bi-weekly. During these calls, the Technical Standards, field guides, and SWS may be discussed with challenges, successes, and innovative approaches to compliance. The attendees for these meetings are the Energy Auditors, Program Managers, Quality Control Inspectors and the staff from the Energy Smart Academy;
3. During any WAP RFP process, the links to the manuals are provided with the RFP package;
4. Subrecipient use of the documents and guide compliance are verified through the monitoring process.
5. Monthly desk monitoring when invoices are submitted, agencies are reminded of where to find answers to questions.

All NM EnergySmart contracts between subrecipients and MFA reference compliance to the SWS. The contracts contain the following statement:

Subrecipients will be responsible for providing services as required by the Department of Energy (DOE) Standard Work Specifications (SWS). The SWS requirements for Single Family Homes & Manufactured Housing can be accessed at <https://sws.nrel.gov>. If these specifications are not followed, reimbursement will not be made.

All subrecipients have incorporated language in their contracts with their subcontractors requiring compliance to the SWS. Subrecipients will incorporate language into their contracts that require all materials used must be listed in the 10 CFR 440 Appendix A. All contracts between any entities using WAP funds have signatures from both parties verifying acknowledgement of the aforementioned expectations.

**Field guide types approval dates**

Single-Family: 2/16/2021
Manufactured Housing: 2/16/2021
Multi-Family: 2/16/2021

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: NEAT
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: MHEA

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Approval Date:

Audit Procedure: Multi-Family  
Audit Name: TREAT  
Approval Date: 10/20/2022

Comments

**Energy Model Software**

NM was approved to use TREAT for multifamily buildings on June 27, 2022. All MF projects must be approved by MFA prior to commencement of work.

New Mexico's single family site built energy audit procedures have been approved by DOE to use NEAT on February 12, 2024. New Mexico's single family manufactured home energy audit procedures have been approved by DOE to use MHEA on February 12, 2024. For these two building types, NM will be seeking energy audit approval using the WA 10 online software before the end of PY 2023.

**Audit Procedures**

This section summarizes the protocol that is detailed in the single family and multifamily energy audit procedures submitted with the energy audit review packages. Energy audit procedures can be found here:

- Pre-visit planning and desk viewing;
- A certified energy auditor performs an in-person meeting, including client education, and completes a full building screening for weatherization viability and hazards;
- Thorough exterior envelope inspection for SWS requirements, Health and Safety, TREAT, NEAT or MHEA entry, and BPI standards;
- Interior inspection for data entry, Health and Safety, lead tests, baseload usage measures (lighting, refrigeration, etc.), number and location of appliances, and diagnostic testing arrangements;
- Diagnostic tests are performed on all required appliances for efficiency, safety, and operating condition outlined in the NM Energy\$mart Technical Standards;
- Blower door testing procedures are performed including air leakage and barrier assessments, zonal tests, ASHRAE 62.2-2016 determinations, and duct leakage tests;
- Final walk through with recap on client education, double check on field notes, pilot lights, house condition, additional tests if needed;
- All information is reviewed and entered into energy audit software. This includes verifying input reports against actual notes, comparing audit results with preliminary scope of work, review of measure and SIR ranking, incidental repair and health and safety items;
- The energy audit assumptions are checked against the assessor's knowledge, photos, and videos of the unit for accuracy;
- Energy Auditors will comply fully with the NM Energy\$mart COVID Safety Response Plan by wearing all the required PPE, washing hands, spraying down surfaces, post cleaning of tools, and pre-client screening, when applicable.

**Fuel Switching**

MFA has gained approval from DOE to issue state level fuel switching approvals. Subrecipients must follow the fuel switching procedures that include package submittal to MFA. Package elements include photos of the home and complete audit paperwork. The audit inputs and recommendations are reviewed for accuracy. Approval is not awarded until all fields are satisfactory and the switch is proven to be cost effective.

**Fuel Switching Procedure:**

1. Opportunity is first identified by the assessor/energy auditor
  - a. Client education is provided, and owners of the dwelling must agree to the fuel switch.
  - b. A determination is made that all codes can be complied with and associated costs by the agency.

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- c. The electrical panel must be able to accommodate the equipment for both electrical load and physical location if switching to electric. If upgrade is needed, costs are included as incidental repairs to the heating system replacement in the audit. Cumulative SIR must be 1 or higher.
2. The assessor obtains existing fuel use and cost from the owner of the dwelling either in utility bills or propane company.
3. All the audit procedures are followed as with any other audit.
4. The following is sent to MFA for review:
  - a. Photos of the unit, location where replacement will be, and of the existing heat source.
  - b. Complete energy audit including recommended measures, input report, field data, and other relevant information about the unit.
  - c. Estimated fuel usage based on a season's billing and service.
  - d. If audit libraries have been updated since the last request, they are provided with utility cost, escalation rate, and related utility charges including permits and connections needed if any.
  - e. Age and type of home.
5. All associated costs with the fuel switch must be included with the measure or as an incidental repair.
6. \*Site built units require additional steps for the modeling heat pumps replacing propane fuel that are supplied with this plan\*
7. MFA reviews the documents, compares the field data with the photos, input reports and recommended measures for accuracy.
  - a. All entries within the audit must be accurate to determine if the switch is cost effective.
8. Any errors or discrepancies found are communicated to the assessor and the items are corrected prior to approval.
9. An approval is issued only if it is demonstrated that the individual fuel switch measure and the cumulative savings for the unit shows a savings to investment ratio (SIR) of 1 or greater.

Cooling Systems

10. Existing evaporative coolers are to remain as the only cooling source. Clients are provided education as to the potential higher costs of the heat pump in the event it desired be used in an for temporary emergencies.
11. Must include modeled electric use for the summer months associated with cooling if heat pump is used for cooling.
12. When window AC units are present as secondary systems to the evaporative cooler, the units must be included in the model for replacement by heat pump in addition to the evaporative cooler to determine cost effectiveness of the heat pump replacing both evaporative cooler and window units.
13. MFA uses a checklist that helps look for details when determining if all things have been considered for the particular switch.

Asbestos

In the event that dangerous friable materials (e.g. Lead-based paint dust, disturbed asbestos, or hazardous organic materials such as mold) may become air-borne due to depressurization testing, any testing requiring the use of a blower door may be omitted. Such conditions must be documented including photographs, and included in the unit file. For the purposes of energy auditing and air-sealing specification, the Energy Auditor will assume a .5 cfm 50 square feet of exposed envelope area.

Software Used

To ensure eligible occupants of multi-family housing will receive cost effective weatherization services, each weatherized building will have a computerized energy audit, TREAT, which complies with 10 CFR 440.21(b) completed prior to the installation of any weatherization measures. This energy audit will be included in each unit file. For single-family units a NEAT audit will be completed. For mobile home units, a MHEA ,or if the mobile home is structured more like a site built unit, a NEAT audit, will be completed.

Priority Lists

NM was approved to use priority lists December 6, 2022 for all building types. Agencies must follow the approved priority list procedures when it has been determined

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that the use of the priority list will be most advantageous to the home or project. MF projects must approved by MFA prior to commencement of work. Priority list procedures are contained within the Energy Audit Procedures.

### V.5.3 Final Inspection

In accordance with WPN 22-4, MFA will ensure that all final inspections meet the criteria below.

Subrecipient's may not report a unit as having been weatherized until all weatherization materials identified for installation at said unit have been installed and the subrecipient, or authorized representative, has performed a final inspection(s) of said unit, and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures required by 10 CFR 440.21. All final inspections will meet the requirements of the Standard Work Specifications, Technical Standards, and the NM Field Guide. Local code requirements for mechanical appliance installation are included.

All subrecipient's final inspections will continue to be performed by a certified Quality Control Inspector (QCI) independent from the initiation of the work order, assessment, or work completed. All three of New Mexico's subrecipients have certified Quality Control Inspectors and Energy Auditors on staff. The NM EnergySmart Program continues to encourage each agency to pursue more QCI Inspectors and Energy Auditors. The use of contractors for QCI and energy audits is encouraged and allowable.

The subrecipient must verify that all weatherization materials identified for installation at the particular unit have been installed in a workmanlike manner and in accordance with the priority determined by the auditing procedure as required by 10 CFR 440.21, meet the requirements of SWS, Scope of Work, and our Field Guides prior to reporting the completed unit. Said verification must include, at a minimum, the following verifications and tests:

- Evaluation of the original assessment, the original audit, work order, invoices, and contents of the file;
  - The original field data collection, field notes, and input report must be reviewed to ensure the energy audit called for the correct measures. Missed opportunities must be addressed prior to unit passing inspection;
  - Files are not to be closed if missed opportunities are found. This includes an evaluation of all potential funding sources to be sure that all eligible energy saving measures (ECMs) are installed.
  - The final inspector must assess the energy audit and confirm the accuracy of the field site data collection, energy audit software inputs, and the measures called for on the work order. These must be verified against the approved energy audit procedures.
- All weatherization measures completed by agency's crew(s) or procured contractors;
- All mechanical work performed including: verification of new equipment size and rating; state inspector has been contacted for inspection, and required diagnostic testing;
- Combustion Appliance Zone(CAZ) Required testing under worse case conditions (BPI Protocol)- Required SWS tests must be completed or verified that HVAC contractor has completed;
- Post-Retrofit Blower Door Depressurization Test, Zone Pressure Diagnostics (See Energy Audit Section for more detail); Minimum Ventilation Compliance Verification.
- Multifamily projects are required to test the same units initially sampled for blower door. Further blower door testing may be performed by the QCI as needed but is not required.
- The final inspector/QCI MUST verify all energy audit inputs.

If Duct-sealing was performed:

- Worse-case depressurization test with air handler on and off;
- Pressure Pan Testing;
- System Balance Testing between rooms with ducts and unit (maximum 3pa pressurization);
- Visual inspection for plenum and end of leg boot sealing;
- Visual inspection for applied field guide methods;
- If Mechanical Ventilation has been installed, then the inspector shall verify continuous and peak flow output of the unit through Flow Hood Testing. NOTE: For HRV/ERV installations which use the central supply and return ductwork, Flow Hood Tests may be required at all supply and return register locations. All mechanical ventilation must comply with ASHRAE 62.2 2016;
- Client satisfaction interview and dialogue that includes review of client education;

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- Visual inspection of all work completed for quality;
- Detailed and thorough file inspection compared with work for consistency.

The final inspection for each weatherized unit shall be performed by a certified subrecipient QCI, or a contracted MFA approved certified QCI within 45 working-days of the final day of weatherization work being completed by agency crew(s) or contractors. Any required rework shall be completed in a timely manner and must be verified by the original inspector. It is considered best practice to schedule the inspection as close to the completion of work as possible.

MFA's certified QCI staff or staff from SFCC will inspect 5% of all completed units. In the event an Energy Auditor also needs to inspect the units due to the QCI requirement, or if through previous QCIs problems have surfaced that need follow up, MFA's Green Initiatives Manager will inspect 10% of the completed units for that subrecipient.

The final inspector may perform minor adjustments to previously installed retrofits in order to obtain satisfactory inspection results. Such adjustments must not exceed one working hour per unit or within a reasonable time frame depending on the distance, and will not be considered a "weatherization retrofit" as noted above.

Once completed, subrecipients must ensure that the client file contains a form that certifies the unit has had a final inspection, and that all work meets the required standards. The subrecipient then uploads detailed information on each measure installed in the unit, including final inspector name, estimated & actual cost, energy savings and SIR into MFA's online system. MF projects are uploaded by project with the same information for the entire project.

During the invoicing process, MFA's Green Initiatives Managers review the information on the units to determine the accuracy and technical implications of the data. If the entries raise questions or concerns, then the unit is not eligible for reimbursement until all questions and concerns are answered to MFA's satisfaction. The said units may be flagged to be included in MFA's QCI inspections.

Under no circumstances may a job be completed if there are unsafe appliances or conditions left in the home as a result of weatherization, or that funds available to the agency could remedy.

Disciplinary actions for inadequate inspection processes determined by 100% desk monitoring or the required 5% to 10% field monitoring will first involve exploring the options of QCI re-training for the inspector. If training is not a viable option or does not remedy the problem, the inspector will not be allowed to perform inspections for a specified period, depending on the severity of the infraction, until proof of adequacy is obtained.

Continued inspector inability or refusal to comply with policies is grounds for MFA to recommend suspension, termination, or otherwise apply special conditions to the inspector performing further QCI inspections for the program. The agency will be required to utilize other QCI inspectors to verify completed units.

During the technical monitoring process, the Green Initiatives Managers verify the certificates of each QCI and Energy Auditor of the agency being monitored. The Energy Smart Academy and the Green Initiatives Managers are in communication as needed about upcoming certification expirations and the need for training review prior to re-certification.

The monitoring process also observes the procedures of the QCI during a final inspection. Suggestions, comments, and best practice observations are communicated to the QCI and an official letter is sent to the agency after review.

As needed Final Inspectors will comply with the NM EnergySmart COVID Safety Response Plan by wearing all the required PPE, washing hands, spraying down surfaces, and client interviews.

This program year, MFA may submit procedures for the QCI mentorship program to our DOE project officer. This will enable an individual who is in the process of obtaining the QCI certificate to conduct the inspection per DOE approved procedures.

Attached are final inspection forms, final diagnostic testing forms, and technical field monitoring forms.

## V.6 Weatherization Analysis of Effectiveness

MFA qualified staff, our in-house on-line reporting system and the Energy Smart Academy provide long-term stability of the program. The Academy, developed in partnership with Santa Fe Community College, has earned a growing reputation as one of the premier training centers in the Weatherization Assistance Program. The Academy is IREC accredited in the four training job categories of Retrofit Installer, Crew Leader, Energy Auditor, and QCI. MFA and our partners use these pieces to enhance communication and target resources where they are needed. Our process for communication will remain in place going forward and will be used to help align with the announced new DOE program requirements.

In order to assess effectiveness, the NM EnergySmart Online System (System) captures the unit production data on a monthly basis. The completed unit data is captured for each agency and shows the projected energy savings in MMBTUs for each auditor in the network. The System also shows the frequency with which each agency and auditor installs individual measures and also allows MFA to assess each Agency's performance in a number of areas. The system-level assessment allows MFA to select individual units for inspection. A separate unit inspection database collects information from inspected units. Monitoring data follows the path of information sharing that occurs through the online system.

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MFA is using this online system to increase the value of energy burden in relation to the other priority categories to place emphasis on underrepresented groups that tend to have a greater energy burden than populations that are not underserved. MFA is also working with the training academy to recruit and hire individuals from all communities, including the underrepresented communities as part of a workforce solutions plan.

MFA uses the System to conduct a 100% desk audit of all units completed prior to paying subrecipient invoices. Prior to invoices being paid, the following is reviewed by the weatherization team for accuracy:

- Measures installed on each unit are compared to determine the relationship between estimated costs and actual costs;
- Energy saving measures are confirmed to have SIRs and corresponding MMBTU savings;
- The SIRs and MMBTU savings are compared with averages. If a particular measure appears to be unusually high, the agency is asked to provide back up;
- Total cost and projected energy savings are tracked for each measure and for the unit as a whole;
- Year the unit was built to determine if additional information is needed from the agency for compliance with lead based paint and SHPO;
- Square footage and structure type (mobile home or site built);
- For some measures more detailed information is collected including R values of added insulation, Manual J calculations of new heating systems, and air reductions relative to the initial blower door reading, air sealing target and the achieved reduction.

This System is also used to flag units that need additional unit inspection monitoring. Any unusual numbers, costs, or circumstances may trigger the inspection. These unit inspections become a portion of the required 5% to 10% Quality Control Inspections. During the unit inspection, the entire client file is compared to the entries for accuracy along with client interview regarding utility bill savings.

During the MFA unit inspection process of completed units, the techniques used to achieve such reductions, efficacy of installation methods, baseload measure assumptions, and other energy saving measures are observed and any findings, concerns, comments, and best practices are noted.

The data generated by the System or during technical monitoring and unit inspections stimulates dialogue between agency management, Green Initiatives Managers and the Energy Smart Academy. Stakeholders can quickly determine additional training where needed. Due to the specific nature of the System's reporting capability, specific training can be directed for specific auditors, inspectors and/or weatherization crews in order to resolve deficiencies in their skill set, and showcase best practices.

Monthly, a report is sent out to of the agencies detailing MMBTU savings, client monetary savings on average, wait lists in each county, total households weatherized for each funding source, average/total cost per unit, demographic information, deferrals, total unit entry for each client, and total numbers. This will enable the team to see how they compare with others and the national number of 29.3 MMBTUs per unit.

Energy Auditors are encouraged to practice the comparing of energy auditing estimates with utility bill usage. This helps the team realize how accurate their models are in comparison to actual usage and helps to spawn training where needed.

Over the last three years, the costs of materials have been observed to be increasing when reviewing invoices in the System. The costs of measures are reviewed on a regular basis prior to invoices being processed to compare with market costs of those particular measures. If something appears to be high, a detailed explanation is requested from the agency, or the agency's procurement may be examined for that item.

Continuous process and improvement is the goal of the combined training and monitoring programs. Through comprehensive training, staff continues to be cross trained and the basics are reviewed to widen the capabilities in addition to ensuring the existing staff understands the basics of the program on the most fundamental levels. Technical monitoring and regular conversation with the agencies help determine additional training needs.

MFA now has multiple staff members that use this system to generate multiple reports for the purpose of agency education, training, monitoring, and funder requests. These reports will be reviewed by the Green Initiatives Managers and dispersed to the agencies regularly. In addition to reports being made available to agencies and funders, the data will be used to target areas that can benefit from outreach to increase knowledge of the program.

At any point, a full report can be obtained for any subrecipient, funding source, or time period containing all the fields that have been entered into the system during the monthly invoicing.

If not already located in the Technical Standards or Administration Manual, the agencies answers to questions are reviewed by the Technical Review Committee that meets twice a month. These responses are entered into the appropriate manual and section during the normal updating process.

## V.7 Health and Safety

See attached Health and Safety Plan.

## V.8 Program Management

### V.8.1 Overview and Organization



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**MFA**

The New Mexico Mortgage Finance Authority (MFA) was created by the New Mexico State Legislature in 1975 as a statewide government "enterprise" to provide financing for affordable housing to medium and low-income persons and receives no money from the state to operate. MFA is governed by a board of seven members. Four members are appointed by the Governor and three members serve by virtue of their state office: the State Attorney General, the Lt. Governor and the New Mexico State Treasurer. The Chairman of the Board is appointed by the Governor. Rules and regulations formulated by the MFA are approved by a Legislative Oversight Committee of the State Legislature. The committee is comprised of eighteen members.

By Executive Order 97-01, the State Governor transferred all federally funded housing programs to MFA on January 14, 1997. The Weatherization Assistance Program (WAP) was included in this transfer. Consequently, MFA took over the administration of WAP during the ongoing plan for 1996-97. Shortly thereafter, MFA staff produced its first plan (1997-98). MFA does not administer the State Energy Plan nor LIHEAP.

MFA has assigned significant managerial resources to the Weatherization Assistance Program to ensure its successful administration. A list of MFA personnel with direct WAP responsibilities is provided below. MFA has integrated WAP as a core activity throughout its organization; e.g. Information Technology. The Accounting, Human Resource, Legal, and Marketing Departments are available to act on WAP activities and issues.

**Program Manager**

David Gutierrez is the weatherization program manager with three years of experience in code enforcement, zoning, and housing inspections with the City of Albuquerque. He has 15 years of housing experience including property management, LIHTC, HUD, HMIS, CoC. RAP, FEMA, Motel Vouchers, Displaced Tenants, and Rental Assistance. David is responsible for all reporting, purchases, programmatic monitoring, file organization, manual revisions, contracts, amendments, and risk assessments.

**Green Initiatives Managers**

Green Initiatives Manager, Troy Cucchiara has been with MFA as technical manager since March 2014. Troy came to the position with over 8 years of weatherization experience with a technical background. He is responsible for overall direction and supervision of the program, leverage efforts, coordination with grantee staff; and the overall management of subrecipients. His responsibilities for the technical aspects of the program include training and technical assistance as well as health and safety issues and program compliance with all DOE technical requirements. His qualifications include 10 years of field experience and he holds certificates for several areas in the field of weatherization including Energy Auditor and QCI Certification.

Green Initiatives Manager, Dimitri Florez has been assisting Troy since January 2020 with managing the NM EnergySmart Program. Dimitri arranges technical monitoring visits and handles all on-site unit inspections. Dimitri manages most utility funders and carefully reviews each invoice for proper allocations between funding sources. Dimitri's qualifications include 3 years of field experience and holds the Building Analyst and Energy Auditor Certifications. Dimitri continues to learn all aspects of the program and successfully achieved his QCI on March 24, 2023.

**Weatherization Team**

Troy, Dimitri, and David work closely to monitor subrecipients' activities. They will conduct a minimum of one financial and operations monitoring visit and one technical monitoring visit per year for each agency. They will also monitor a minimum of 5% to 10% of files and provide on-site unit inspections of the files reviewed. On a monthly basis the three will conduct 100% of desk monitoring through our online system for all funding sources. A prescribed monitoring tool is used for all monitoring visits. The team provides training and technical assistance to our subrecipients as needed throughout the program year.

**Supervisors:**

Kellie Tillerson, Director of Community Development, is responsible for the successful implementation of the weatherization program. She also provides direction to staff and promotes the weatherization efforts externally. Her oversight includes directing the activities and acceptable performance of the weatherization subrecipients and ensures that MFA and subrecipients are in compliance with all regulatory and contractual requirements of the program. She ensures the monitoring of subrecipients is in compliance with their contracted programs in accordance with regulations outlined in federal/state contractual agreements and MFA's Compliance Manuals. Ms. Tillerson works with staff in assisting the efforts to build their capacity through training and providing technical assistance on the program development. Ms. Tillerson also oversees the efforts to increase funding for the program.

John Garcia is the Assistant Director of Community Development at MFA. Mr. Garcia will assist Kellie Tillerson, the Director of Community Development, as needed and will assume her duties in the case of her absence.

Mr. Garcia is responsible for supervising the program managers for the Emergency Homeless Assistance program, Housing Opportunities for People with Aids program and the Youth Homeless Demonstration project. John has 25 years of experience working for the state of New Mexico. His last position with the state was the Grants Management Bureau Chief for the Human Services Department. Over his career at the state, he has held the positions of EBT Program Manager, Benefit Management Track Lead for the SNAP and TANF eligibility system, Management Analyst, Child Support Enforcement Officer, and Income Support Specialist. He has a master's in business administration and holds a certificate in Project Management.

**Administrative Support:**

Indirect costs will be charged using the de minimus rate of 10% of Modified Total Direct Costs. Included indirect costs include the support of administrative staff.

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The Controller and accountants, are responsible for reviewing monthly fiscal reports, preparing reimbursements, and maintaining all required financial records to account for Grantee and subrecipient expenditures and balances. They are also responsible for subrecipient financial management and quarterly reporting to DOE. The Administrative Support staff provides Marketing and Information Technology support to weatherization staff necessary to carry out the functions of the weatherization program.

MFA will comply with the record keeping requirements prescribed on section 10 CFR 440.24, and with the reporting requirements on section 10 CFR 440.25.

MFA's Policy Committee is responsible for overall management of the weatherization program. They provide oversight and effective and efficient management of the weatherization program and provide direction to weatherization staff along with the Director of Community Development. They promote the weatherization efforts externally.

### V.8.2 Administrative Expenditure Limits

New Mexico's admin is set at 15% with MFA receiving 5% and the remaining 10% allocated to our subrecipients. MFA will NOT be requesting the additional admin funds for our existing subrecipients are already receiving 10% admin.

### V.8.3 Monitoring Activities

#### Monitoring Approach

Monitoring is a tool used to assist its subrecipients with their efforts to resolve problems encountered in the administration and operation of the NM EnergySmart Program, and to ensure compliance with all applicable Federal and State laws, rules, codes and regulations. To achieve this goal, Troy Cucchiara, Dimitri Florez, and David Gutierrez, will conduct all monitoring. For the program year 2024-2025, training and technical assistance funding in the amount of \$12,748 will be used for monitoring and \$674 of leveraging will be used. Administration funds used for monitoring are \$4,325 and will be 24% of the monitoring budget.

#### **Desk Monitoring**

Each month, agencies invoice for completed units that includes data entry by the agencies for numerous fields. This enables MFA to perform the following:

- Completed Unit Reports that show a detailed view all funding sources, amounts, and savings for each measure with each unit.
- All units and associated measures are viewed in detail for compliance during invoicing;
- Total costs for labor and materials are viewed for reasonableness;
- SIR and energy savings in MMBTUs are compared to averages;
- Geographical patterns with production plan submitted by agency are reviewed;
- Based on the age of each unit, random selections are made for compliance of Lead Based Paint(LBP) rules and State Historic Preservation Office (SHPO) obligations;
- Input reports and recommended measures for energy audits are requested from units that have unusual circumstances, and random units.
  - Once NM is using WA10 Online, there will be no more need to request input reports, and MFA staff will have the ability to easily view more unit entries.

#### **Unit Inspections**

Unit inspections include at minimum the below items:

- Homes are selected based off desk monitoring, geography, random selections, or other factors;
- Prior to home visit, the client file is inspected from front to back for full program compliance;
- Complete inspections are conducted on the unit following BPI QCI protocol;
- Minimum of 5% for all three agencies are conducted;
- Minimum of 10% when the QCI final inspector is the same person as the assessor/energy auditor;
- 10% QCI is performed when there are repeat findings or concerns.
- Multifamily receives 5% units from each MF project.

#### **Technical Monitoring**

The below items are part of technical monitoring:

- Review of scheduling procedures is conducted;

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- Eligibility and intake are reviewed;
- Rental audit procedures are confirmed;
- Multifamily audit procedures and compared with field work;
- Energy audits for single family are reviewed;
- Qualifications & training of agency staff (includes new hires) are reviewed;
- T and TA progress is discussed;
- Overall weatherization of units is monitored by field visits;
- Field work methods and work in progress is reviewed;
  - This includes a work-in-progress, energy audit assessment, and QCI final inspection.
- The agency's QCI methods are discussed and observed;
  - Unit inspections can be additional to the technical monitoring.
- During all field visits, Health & Safety procedures and OSHA compliance is monitored;
- Equipment/inventory/material condition and calibration is inspected;
- Feedback & reporting is discussed with the agency;

**Programmatic Monitoring**

The following items are reviewed for programmatic monitoring:

- Program overview (client file review, work orders, etc.);
- Financial/administrative process;
- Expenditures and admin;
- Financial administration;
- Quality management assurance;
- Vehicles & equipment inventory and maintenance;
- Procurement procedures and packages;
- Insurance requirements.

**Financial Monitoring**

During the programmatic monitoring, the fiscal piece is reviewed and includes:

- Financial management/accounting systems and operations;
- Financial audits and audit compliance;
- Fiscal tests including tracing item on GL to source;
- Fiscal tests on each funding source to all costs eligible;
- Payroll and personnel;
- Grant specific GLs.

MFA staff coordinates all activities and provides clear and concise direction to comply with the applicable standards and regulations. Staff conducts field monitoring of subrecipient financial activities including financial audits, production and reporting requirements. Program staff also assists subrecipients to improve operations through training and technical assistance to correct noted problem areas.

Single Audits or Audited Financial Statements

In addition to the staff that conducts the monitoring, MFA's Accounting Department and Internal Auditors are available when needed to review subrecipient financial operations. Subrecipients financial audits are reviewed as part of their onsite monitoring. Financial audits are also reviewed at the time of audit submission when the financial audit is due for that year.

To complete the approval of the annual external financial audits, the first layer of review is by the Program Manager. The second layer of review and approval is either done by the Assistant Director of MFA's Community Development Department or MFA's Controller.

At a minimum, MFA staff conducts one onsite or virtual programmatic monitoring visit, one financial visit, and one in field technical monitoring visit each year. Comprehensive monitoring tools are used as part of the thorough review of each subrecipient. If necessary, a follow up monitoring visit will be conducted to verify that corrective action has been initiated or completed. Through our online reporting system, staff conducts reviews on financial reporting and expenses.

**General Monitoring Practices** Staff will perform field onsite technical monitoring visits to Southwestern Regional Housing Community Development Corporation (SRHCDC), Central New Mexico Housing Corporation (CNMHC), International Center for Appropriate and Sustainable Technology (ICAST), and Red Feather Development in the 2024/2025 Program Year. In the event travel is restricted due to future pandemics, monitoring visits may need to be conducted virtually and remain consistent with the approved virtual monitoring plan.

In addition to the monitoring, MFA staff has developed their own QCI inspection policies. The team will perform certified QCI reviews of client files and inspect the

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corresponding units of 5% to 10%. This will occur on a continual basis to ensure that SWS, DOE guidance, and NM Standards are being followed. The team looks closely for missed opportunities, and **client safety**. Health and Safety approach with the best practice possible are encouraged. In the event quality is not up to standards, and it is determined that there is a pattern, comprehensive or specific training will be scheduled to correct the issues. Health and Safety deficiencies, depending on the severity, are corrected immediately, with preference being the same day.

Quality Control review of units and files consists of reviewing every detail for each file prior to the unit visit. The file should accurately tell the story of the weatherization work that took place at the unit. If one thing is out of place, it serves as an indicator to look for additional related items.

In the event subrecipients fail QCI inspections; they are given the opportunity to remedy the problem within a reasonable time period. This rework is not eligible for reimbursement with DOE funds. The unit may be re-inspected by MFA's QCI, depending on the nature of the failure. Photos or other proof of correction is required. The training Academy is notified of the area of weakness and modifies the classes if needed. In extreme cases, additional classes are scheduled for the agency.

When there are findings or concerns that surface during inspections, the subrecipient is asked to explain how they will improve in their correction plan. This may entail updating their policies and procedures, more frequent monitoring by MFA, or training to help the subrecipient understand how the problem occurred and how to prevent it.

MFA also requires subrecipients be audited in accordance with section 10 CFR 440.23(d). For program year **2024/2025** only one of the NM EnergySmart subrecipients met the 2 CFR 200 threshold amount of \$750,000.00.

As a follow up to each visit, MFA staff provides the subrecipient with a written report that describes noncompliance or problem areas, suggested comments and best practices. The report is submitted to the subrecipient within 30 days of the visit and the subrecipient is required to respond within 30 days to MFA with a Corrective Action Plan addressing any findings, concerns, and recommendations. This Corrective Action Plan must include an identified target date for each deficiency. This is tracked by an online tracking system. Follow up communication through phone conversations, email, and necessary onsite visits is continual until the problem is resolved. **MFA keeps the line of communication open to help the subrecipients achieve the ultimate goal of compliance and best practice.**

The subrecipients are sent the updated monitoring instruments prior to the visit that will be used, since they are accountable for implementation of the program in accordance with the standards and procedures.

In all instances, MFA is committed to working closely with subrecipients to succeed. However, if after numerous attempts have been made towards compliance or if a subrecipient is either unwilling or unable to resolve a noncompliance issue, MFA would start to work toward defunding the agency. **This is a last resort and will only be implemented in the most extreme cases.**

When a problem is resolved to the mutual satisfaction of the subrecipient and MFA, MFA staff will send a follow-up letter to close the finding.

**MFA looks for patterns of fraud within the agency documents, such as the general ledgers.** If there is any suspicion of mismanagement, fraud, waste or abuse or if any significant problems are found, MFA will immediately notify the DOE Project Officer, and **the Investigative General.**

MFA will submit annual reports to the DOE Project Officer describing its monitoring efforts to date. The report will include at least the following:

- Number of monitoring visits to each subrecipient;
- General nature of the findings;
- A discussion of significant corrective actions.

MFA will also have all monitoring reports available, upon request, for DOE inspection. MFA will summarize and review its monitoring activities and findings for internal assessment of subrecipient needs, strengths and weaknesses and annual planning. This data will be incorporated in the New Mexico Consolidated Plan and Annual Performance report.

**Credentials** MFA staff has substantial experience in monitoring NM EnergySmart and other Federal and State programs.

*Troy Cucchiara is the Green Initiatives Manager and a QCI for MFA. Troy oversees all aspects of the weatherization program including the programmatic, fiscal, technical, and QCI monitoring. He has been involved with the home retrofit industry for **25** years and has been an integral part of the Weatherization Assistance Program for different agencies since 2006. He has earned numerous certifications including Commercial Energy Auditor, Water Specialist IV, CBI Thermographer, Lead Certified Renovator, Lead Dust Sampling Technician, AHERA, OSHA 30, Building Analyst, Building Envelope, and Home Energy Professional Quality Control Inspector, Multifamily QCI, Energy Auditor, and has been a BPI Proctor for the Santa Fe Community College. Technical experience includes energy auditing, unit inspections, program management, water treatment design, inventory control, public speaking, staff training, and client education.*

Dimitri Florez is the Green Initiatives Manager **and QCI** for MFA. Since January 2020, he has been assisting MFA's Green Initiative Manager, Troy Cucchiara with managing the NM EnergySmart Program. Dimitri schedules all technical monitoring visits, and on-site unit inspections. Dimitri's qualifications include 3 years of field experience and holds the Building Analyst and Energy Auditor Certification in the field of weatherization. Dimitri is learning all aspects of the program working closely with Troy. Dimitri will have received his QCI certification in March, 2023.

David Gutierrez conducts all programmatic and fiscal monitoring. David has three years of experience in code enforcement, zoning, and housing inspections with the City of Albuquerque. He has 15 years of housing experience including property management, LIHTC, HUD, HMIS, CoC. RAP, FEMA, Motel Vouchers, Displaced Tenants, and Rental Assistance.

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**Levels of Agency Performance**

**High Performance or Exemplary Agencies:** By way of monitoring review, an agency has demonstrated performance standards that meet or exceed standards that are commonly observed in the following areas:

- No Health and Safety findings;
- No procedural findings;
- No financial audit material findings;
- In general an agency's production is high relative to funding;
- No "at risk" elements are found in major categories for an agency;
- The agency provides comprehensive service utilizing the latest building science and renewable technology, in a cost effective manner in accordance with NM EnergySmart Weatherization Assistance Program guidelines.

**Stable Agency Performance:** Typically, the frequency of monitoring will be (1) fiscal/operational visit and (1) technical visit per year by NM EnergySmart staff. The need for additional visits within the same year will be determined by the agency's program funding and production level and the timely responses to any outstanding monitoring findings. MFA expects every agency to meet standards of performance, have a well established systems for program administration and operations, with no more than one finding in the following areas:

- Compliance with major program requirements, such as, lead based paint procedures, cost allocation;
- No more than one program specific finding in the annual monitoring visit;
- No more than one fiscal specific finding in the annual monitoring visit;
- Staff is well trained in performance of specific job duties;
- Agency has complete and organized files;
- Evidence of prudent decision making as to the use of program resources;
- Complete scopes of work;
- NEAT/MHEA/TREAT documentation is current and consistent with billing;
- Staff is proficient in the use of auditing software;
- Evidence that NEAT/MHEA/TREAT is used with actual and true pre audit data (including costs);
- Evidence that NEAT/MHEA/TREAT is used effectively and thoughtfully in determining cost effective measures;
- Staff and contractors have demonstrated proficiency in technical applications, including diagnostics;
- Agency has a minimal number of procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report;
- Agency complies with OSHA and MFA safety rules, as applicable;
- The agency maintains a professional working relationship with MFA;
- Past corrections are made and reported in a timely manner;
- Participate in NM EnergySmart Peer Exchange meetings;
- No "at risk" elements are found in major categories for an agency.

**Vulnerable Agency Performance:** If an agency's performance is deficient in some or all of the following levels of performance MFA will prepare a plan to help the agency clear the deficiencies and will provide additional monitoring within the same year to ensure the agency has a well established systems for program administration and operations, with no more than one finding in the following areas:

- Compliance with major program requirements such as lead based paint procedures, cost allocation plan/indirect cost rate, required contractor information;
- No more than one program specific finding in the annual monitoring visit;
- No more than one fiscal specific finding in the annual monitoring visit;
- Staff is well trained in performance of specific job duties;
- Lack of prudent decision making as to use of program resources;
- Completes scope of work;
- NM EnergySmart online reporting is current and consistent with billing;
- Staff is proficient in its use of the NM EnergySmart online payment system;
- Evidence of the NM EnergySmart online payment system is used with actual and true prepost data (including costs);
- Evidence of the NM EnergySmart online payment system is used effectively and thoughtfully in determining cost effective measures;
- Staff and contractors have not demonstrated proficiency in technical applications, including diagnostics;
- Agency has a number of and severity of procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report;
- Agency does not comply with OSHA and MFA safety rules, as applicable;
- The agency does not maintain a professional working relationship with MFA;
- Past corrections were not made and reported in a timely manner;
- Agency does not participate in NM EnergySmart Exchange meetings;
- Agency does not report as outlined in program manual;
- Several "at risk" elements are found in major categories for an agency.

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**At Risk Agency Performance:** At risk agencies will be monitored no less than twice annually. Other factors in the frequency of monitoring visits may be based upon the requirements of specific funding sources. These agencies may be identified as a result of a variety of factors that may include:

- Agency's probation, i.e. an agency's first year with the program;
- There is evidence of significant administrative or program substandard performance; for example, repetitive pattern of findings, failure to have copies of permits on file or lack of compliance with historical preservation rules;
- Agency is not in compliance with program policies, procedures and specifications;
- Agency has repeated health and safety findings;
- Agency staff members/crew has deficient technical skills;
- There has been a change in key staff;
- There has been a change in key weatherization subrecipients;
- Agency has deficient scopes of work (work plan is insufficient);
- Agency has program specific audit findings;
- Agency has fiscal findings;
- Agency files are incomplete or disorganized;
- Agency staff is unresponsive to MFA requests and deadlines. For example, the agency consistently fails to provide monthly reports and contract closeouts in a timely manner;
- Agency production is low relative to funding.

**V.8.4 Training and Technical Assistance Approach and Activities**

See Attached T and TA Plan

Percent of overall trainings

Comprehensive Trainings: 40.0

Specific Trainings: 60.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings: 19.0

Percent of budget allocated to Crew/Installer trainings: 32.0

Percent of budget allocated to Management/Financial trainings: 49.0

**V.9 Energy Crisis and Disaster Plan**

**Objective:** The objective of the New Mexico disaster response plan is to implement response activities that ameliorate the effects of the disaster to affected low-income persons with due consideration to the limited funds available during the program year.

**Definition:** A disaster is an event or development in the State declared by a Presidential or Gubernatorial order to be either a Federal or State emergency.

**Procedures:** Declaration of an energy crisis enables a subrecipient to place households affected by the crisis at the top of the weatherization waiting list. Subrecipient must follow WPN 12-7 and complete all allowed measures by the energy audit. Partial weatherization is not allowed with DOE funds. Once a QCI has approved the work, the crews can move to the next identified unit that qualifies. If at all possible, the subrecipient should complete the emergency units within the current program year.

The subrecipients must maintain a list of the units served during the crisis and provide the list of measures for each unit and the proposed date for full weatherization during invoice submission.

Criteria include:

1. Households must meet current income guidelines;
2. Priority will be given to elderly person, persons with disabilities, families with children, high residential energy users, and household with high energy

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burdens;

3. Priority will be determined through the program priority list for the particular disaster area;
4. Units weatherized 15 years before the present date, can receive additional assistance under "Energy Crisis";
5. Incidental repairs to an eligible unit will be allowed if the repairs are necessary to make the installation of weatherization materials effective;
6. Elimination of health and safety hazards will be allowed when it is necessary before the installation of weatherization materials.
7. Debris removal so a unit can be weatherized is considered an allowable cost but not an allowable cost for any units that will not be weatherized.
8. If DOE-purchased vehicles are used to assist in disaster relief for debris removal or other allowable activities, the activity must be allocated in accordance with 2 CFR 200.405.
9. Disaster area households may be considered a priority over other households within a subrecipient's territory only if the households are free and clear of any insurance claim or other form of compensation resulting from damage caused by the disaster, and the household must also meet one of the other priorities used within this State Plan.
10. DOE funds may be used to pay subrecipient staff to perform functions such as securing materials, tools, equipment, vehicles, files, and records. DOE funds are NOT to be used to perform work in the community for disaster relief.

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