

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006156		2. Program/Project Title The Weatherization Assistance Program enables low-income families to permanently reduce their energy bills by making their homes more energy efficient. During the last 32 years, the U.S. Department of Energy's (DOE) Weatherization Assistance Program has provided weatherization services to more than 6.2 million low-income families.	
3. Name and Address Kentucky Housing Corporation 1231 Louisville Road Frankfort KY 40601		4. Program/Project Start Date 07/01/2013	5. Completion Date 06/30/2014

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. PY13 Estimated Allocation	81.042	\$ 0.00		\$ 1,200,000.00		\$ 1,200,000.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 1,200,000.00	\$ 0.00	\$ 1,200,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTRATION	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	\$ 35,358.18	\$ 0.00	\$ 34,732.00	\$ 0.00	\$ 70,090.18
b. Benefits	\$ 15,204.02	\$ 0.00	\$ 14,934.76	\$ 0.00	\$ 30,138.78
c. Travel	\$ 1,330.00	\$ 0.00	\$ 9,690.00	\$ 0.00	\$ 11,020.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 152.00	\$ 0.00	\$ 912.00	\$ 0.00	\$ 1,064.00
f. Contract	\$ 3,800.00	\$ 60,000.00	\$ 3,784.80	\$ 49,111.85	\$ 1,076,696.65
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 4,155.80	\$ 0.00	\$ 6,834.59	\$ 0.00	\$ 10,990.39
i. Total Direct Charges	\$ 60,000.00	\$ 60,000.00	\$ 70,888.15	\$ 49,111.85	\$ 1,200,000.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 60,000.00	\$ 60,000.00	\$ 70,888.15	\$ 49,111.85	\$ 1,200,000.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 1,200,000.00	\$ 0.00	\$ 1,200,000.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) VEHICLES AND EQUIPMENT	(4) LIABILITY INSURANCE	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 70,090.18
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 30,138.78
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 11,020.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,064.00
f. Contract	\$ 680,322.58	\$ 163,277.42	\$ 10,000.00	\$ 72,200.00	\$ 1,076,696.65
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10,990.39
i. Total Direct Charges	\$ 680,322.58	\$ 163,277.42	\$ 10,000.00	\$ 72,200.00	\$ 1,200,000.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 680,322.58	\$ 163,277.42	\$ 10,000.00	\$ 72,200.00	\$ 1,200,000.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY

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		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 1,200,000.00	\$ 0.00	\$ 1,200,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 70,090.18
b. Benefits	\$ 0.00				\$ 30,138.78
c. Travel	\$ 0.00				\$ 11,020.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 1,064.00
f. Contract	\$ 34,200.00				\$ 1,076,696.65
g. Construction	\$ 0.00				\$ 0.00
h. Other	\$ 0.00				\$ 10,990.39
i. Total Direct Charges	\$ 34,200.00				\$ 1,200,000.00
j. Indirect	\$ 0.00				\$ 0.00
k. Totals	\$ 34,200.00				\$ 1,200,000.00
7. Program Income	\$ 0.00				\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: Kentucky Housing Corporation
Award number: EE0006156

Budget period: 07/01/2013 - 06/30/2014

1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

Position	Description of Duties of Professionals
1 Director, Design and Construction Review (35%)	Performs personnel functions: verifying time sheets, approving travel, completing annual evaluations. and so forth. Oversees programmatic activities such as submission of grant application, federal reports, regulation revisions, contract reviews and compliance, correspondences and other communications pertinent to the program. Insures timely submission of plans and reports to funding sources and other related offices.
1 Director, Homeownership Production Management (HPM) (15%)	Responsible for general oversight and management of the weatherization program and HPM weatherization program staff. Provides technical assistance to all service providers and assist in the preparation of necessary reports needed to administer the weatherization program.
1 Special Programs Specialist (47%)	Responsible for reviewing and reconciling monthly invoice documentation from service providers, review section 106 forms and track monthly expenditures and production goals. Review and approve training requests
1 Compliance Officer (100%)	Perform overall financial and contractual monitoring for CAK as well as each of the 23 CAA. This function will occur at least once a year or more if determined necessary.
1 Senior Director of Programs Administration (22.50%)	Oversees programmatic activities such as submission of grant application, federal reports, regulation revisions, contract reviews and compliance, correspondences and other communications pertinent to the program. Insures timely submission of plans and reports to funding sources and other related offices.
Homeownership Production Representative (15%)	Reviews and reconciles internal administrative costs associated with weatherization program. Prepares monthly administrative billing statements. Assist in the reconciliation of DOE monthly and quarterly reports.
1 Weatherization Senior Monitor (100%)	Performs monitoring of agencies which includes an on-site inspection of a representative sample of completed dwellings as well as file review of the dwellings inspected; researches and conducts related weatherization training either in a classroom setting or at individual agencies; provides technical assistance to agencies; represents the State on Demand Side Management (DSM) collaborative; researches new initiatives; performs reviews of agency plans and budgets; performs monthly review of agency expenditures, contractual compliance. Weatherization and Health and Safety averages; assists in the development of program forms; reviews and revises Weatherization Manual.
Program Analyst/Environmental Specialist (15%)	Responsible for reviewing and reconciling monthly invoice documentation from service providers, review section 106 forms and track monthly expenditures and production goals. Review and approve training requests

2 Weatherization Trainers/Monitors (100%)

Performs monitoring of agencies which includes an on-site inspection of a representative sample of completed dwellings as well as file review of the dwellings inspected; researches and conducts related weatherization training either in a classroom setting or at individual agencies; provides technical assistance to agencies; represents the State on Demand Side Management (DSM) collaborative; researches new initiatives; performs reviews of agency plans and budgets; performs monthly review of agency expenditures, contractual compliance. Weatherization and Health and Safety averages; assists in the development of program forms; reviews and revises Weatherization Manual.

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
1 Director, Design and Construction Review (35%)		9.5000 % FT	
1 Director, Homeownership Production Management (HPM) (15%)		5.7000 % FT	
1 Special Programs Specialist (47%)		17.1000 % FT	
1 Compliance Officer (100%)		38.0000 % FT	
1 Senior Director of Programs Administration (22.50%)		3.4200 % FT	
Homeownership Production Representative (15%)		5.7000 % FT	
1 Weatherization Senior Monitor (100%)		9.5000 % FT	
Program Analyst/Environmental Specialist (15%)		5.7000 % FT	
2 Weatherization Trainers/Monitors (100%)		23.7500 % FT	
		Direct Pay Total	\$70,090.18

2. FRINGE BENEFITS

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.
- b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
1 Director, Design and Construction Review (35%)		43.0000 %	
1 Director, Homeownership Production Management (HPM) (15%)		43.0000 %	
1 Special Programs Specialist (47%)		43.0000 %	
1 Compliance Officer (100%)		43.0000 %	
1 Senior Director of Programs Administration (22.50%)		43.0000 %	
Homeownership Production Representative (15%)		43.0000 %	
1 Weatherization Senior Monitor (100%)		43.0000 %	
Program Analyst/Environmental Specialist (15%)		43.0000 %	
2 Weatherization Trainers/Monitors (100%)		43.0000 %	
		Fringe Benefits Total	\$30,138.78

3. TRAVEL

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
In state travel budget for program and administrative staff oversight activities provided to the weatherization network.	24	\$100.00	\$2,400.00
Travel budget for training and technical assistance activities provided to four weatherization staff.	2	\$730.00	\$1,460.00
DSM collaborative meetings and to attend related trainings. Travel budget of \$2,000 for out-of-state travel to attend National and Regional Weatherization Training Conference or meetings, such as National Association for State Community Services Programs, Affordable Comfort Training Conference, Weatherization Plus, Next Generation and Department of Energy conferences or meetings.	2	\$1,000.00	\$2,000.00
Travel budget for in-state trips to monitor, provide on-site technical assistance, regional training to the service providers.	24	\$215.00	\$5,160.00
		Travel Total	\$11,020.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

All cost are based on KHC travel policies and past trips of similar nature.

4. EQUIPMENT - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
Equipment and Vehicles	\$0.00	0	\$0.00	
			\$0.00	

- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

5. SUPPLIES - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
Tools and Equipment	\$0.00	Tools needed to provide weatherization monitoring and technical assistance.
Annual cost to service three (3) Combustion analyzers	\$0.00	Annual maintenance of Combustion Analyzers is essential since sensors have a useful life of one (1) year.

General Office Supplies	\$1,064.00	General office supplies and other needed supplies, small equipment, such as cameras, fax, cell phones, etc. Also, materials, cleaning supplies, tissue, paper towels, etc. are needed at the training center when training classes are held and to keep the center adequately maintained.
Materials and Supplies Total		\$1,064.00

b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Cost for the listed supplies are based on vendor web prices and on prior purchases.

6. **CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e. weatherization subgrants, Annual File section II.3).

Name of Proposed Sub	Total Cost	Basis of Cost*
Information can be found on the Sub-grantee Information Form, DOE F540.5 pages 22-31		
Community Action of Kentucky, Inc. (CAK) - Administration	\$3,800.00	KHC will contract with CAK which shall sub-contract with the 23 community action agencies to assist in the operation of the weatherization program. KHC will retain all administrative oversight for the program, but CAK will assist KHC staff in program administration and technical assistance when necessary. Performance activities as approved or directed by KHC will be outlined in the administrative agreement. An estimated amount of \$18,500 of roll-over from PY11 was added
Vehicles/Equipment	\$10,000.00	To be reserved for subgrantee or grantee unanticipated replacement of equipment or vehicles/repairs as required. The grantee will have administrative oversight and reimbursement approval of vehicles and equipment over \$5,000 to the sub-grantees.
Sub-Grantee Health and Safety	\$163,277.42	Health and Safety for Sub-Grantees. Wx funds to provide health and safety measures on eligible housing units.
Sub-Grantee T&TA	\$49,111.85	T&TA for Sub-grantees.
Financial Audits	\$34,200.00	Financial Audits for Sub-Grantees.
Sub-Grantee Insurances	\$72,200.00	Insurances for Sub-Grantees (Liability and Pollution) - Liability Insurance and Pollution Insurance premiums
Sub-Grantee Program Operation	\$680,322.58	Benefits and program operations for Sub-grantees.
Sub-Grantee Administration	\$60,000.00	Admin for Sub-grantees.
Community Action of Kentucky, Inc. (CAK) T/TA	\$3,784.80	Provide technical assistance to the sub-grantee network when requested by KHC and assist subgrantees in utilizing the CastiNet system for data input.
Contracts and Subgrants Total	\$1,076,696.65	

*For example, Competitive, Historical, Quote, Catalog

7. **OTHER DIRECT COSTS** - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need.

General Description	Cost	Justification of Need
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Fiscal Audit for Weatherization Program	\$5,000.00	Estimated cost for an annual external fiscal audit/review required by KHC
Membership dues, subscriptions for energy related publications, software, and other miscellaneous co	\$0.00	Dues for membership in advocacy organizations, such as, National Association of State Community Services Programs (NASCSPP). Cost for posting legal ads in newspapers for notice of a public hearing. Obtain or maintain subscriptions for energy related publications and to purchase updated software. Other misc. cost associated with admin of program: postage, internet, etc.
Certifications, Recertifications, Licensures, CE Courses, as needed	\$0.00	Other training costs for the Weatherization Assistance Program staff to attend new and innovative training as it relates to weatherization, mold, lead and other health and safety approaches. To obtain certifications in speciality areas. To maintain current certifications or licenses in weatheriation speciality areas. BPI Certification for monitoring staff.
Training Outreach	\$0.00	Funding to be used for enhancements of Technical Assistance and Training Outreach.
Rent for Training and Technical Assistance Training Center	\$5,990.39	Utilities, rent, and telecommunications costs associated with an off-site Weatherization Training Center.
Other Direct Costs Total	\$10,990.39	

- b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Based on prior incurred expenses and prior experience.

8. INDIRECT COSTS

- a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.
- b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

KHC is in the process of determining the need for an indirect cost plan and may include this information in future submissions.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name:

Phone Number:

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Audubon Area Community Services, Inc (Owensboro)	\$41,758.69 5
Bell-Whitley Community Action Agency, Inc. (Pineville)	\$43,518.36 5
Big Sandy Area Community Action Program, Inc. (Paintsville)	\$55,428.30 7
Blue Grass Community Action Agency, Inc. (Frankfort)	\$41,498.28 5
Central Kentucky Community Action Council, Inc. (Lebanon)	\$45,319.80 6
Community Action Lexington-Fayette/Bourbon/Harrison/Nicholas (Lexington)	\$47,392.84 6
Community Action of Southern Kentucky (Bowling Green)	\$53,263.31 7
Daniel Boone Development Council, Inc. (Manchester)	\$47,687.35 6
Gateway Community Services Organization, Inc. (West Liberty)	\$41,762.80 5
Harlan County Community Action Agency, Inc. (Harlan)	\$41,844.09 5
Kentucky Communities Economic Opportunity Council, Inc. (Barbourville)	\$38,554.70 5
Kentucky River Foothills Development Council, Inc. (Richmond)	\$41,864.69 5
Lake Cumberland Community Services Organization (Jamestown)	\$59,415.26 8
Leslie, Knott, Letcher, Perry Community Action Council (Hazard)	\$49,770.16 6
Licking Valley Community Action Program, Inc. (Flemingsburg)	\$41,816.45 5
Louisville/Jefferson County Metro Government (Louisville)	\$80,150.84 12
Middle Kentucky River Area Development Council, Inc. (Jackson)	\$40,668.99 5
Multi-Purpose Community Action Agency, Inc. (Shelbyville)	\$29,989.63 4
Northeast Kentucky Area Development Council, Inc. (Olive Hill)	\$46,966.50 6
Northern Kentucky Community Action Commission, Inc. (Covington)	\$51,405.70 7
Pennyrile Allied Community Services, Inc. (Hopkinsville)	\$46,352.83 6
Tri-County Community Action Agency, Inc. (LaGrange)	\$30,254.00 4
West Kentucky Allied Services, Inc. (Mayfield)	\$42,669.41 5
Total:	\$1,059,352.98 135

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	135
Reweatherized Units	0
Note: Planned units by quarter or category are no longer required, no information required for persons.	

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$10,000.00
B	Total Units Weatherized	135
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	135
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$74.07
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$680,322.58
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	135
H	Average Program Operations Costs per Unit (F divided by G)	\$5,039.43
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$74.07
J	Total Average Cost per Dwelling (H plus I)	\$5,113.50

IV.3 Energy Savings

Method used to calculate savings: WAP algorithm Other (describe below)

Method used to calculate savings description:

The current Metaevaluation results is considered a reasonable and conservation proxy or average energy savings from households of all types. Meta-evaluation is 30.5 * 135 units = 4,118.

This year estimated energy savings (MBtus):

Prior year estimated energy savings (MBtus): Actual:

IV.4 DOE-Funded Leveraging Activities

No DOE funds will be diverted to leveraging activities.

IV.5 Policy Advisory Council Members

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

City of Louisville	Type of organization: Unit of Local Government Contact Name: Jenny Peck Phone: (502)574-3107 Email:
Daniel Boone Community Action Agency Inc	Type of organization: Non-profit (not a financial institution) Contact Name: Mike Buckles Phone: 6065985127 Email:
Department for Aging and Independent Living	Type of organization: Unit of State Government Contact Name: Dave Matheis Phone: (502)564-4440

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

E. ON U.S. LLC	Email: Type of organization: Utility Contact Name: Michael Homung Phone: 5026272000 Email:
H.O.M.E.S. Inc	Type of organization: Non-profit (not a financial institution) Contact Name: Seth Long Phone: 6066321717 Email:
Housing Authority of Bowling Green	Type of organization: Unit of Local Government Contact Name: Abrahams Williams Phone: 2708436071 Email:
Kentucky Rivers Foothills Development Council Inc	Type of organization: Non-profit (not a financial institution) Contact Name: Vicki Jozefowicz Phone: 8596242046 Email:

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/16/2013	Public hearing notices were placed in The Louisville Courier Journal and Lexington Herald-Leader on 4/05/13 . Copies of the Annual State Plan were made available on KHC's website and at the public hearing. The public hearing was held at the KY Housing Corp.

IV.7 Miscellaneous

<p>The major changes to this plan include:</p> <ul style="list-style-type: none"> • <u>New DOE format.</u> • <u>Roman numeral headings have been revised throughout the Annual File to correlate to the 2013 Application Package document.</u> • <u>Former Section Heading "II.6 Training, Technical Assistance, and Monitoring Activities" has been removed from the Annual File. These sections will be found only in the Master File now.</u> • <u>Minutes from PAC meetings related to the development of and comment on the State Plan should be attached to the SF-424.</u> • <u>A comment has been added to the section "IV.6 State Plan Hearing" section to request all notes and transcripts be added to the SF-424 in the attachment section.</u> • <u>The grantee should include as part of the Hearings and Transcripts submission for DOE review how the notice was provided to the prospective Subgrantees and public (e.g., a list of publications and/or copy of the notice(s) may be attached to the SF424.</u> • <u>Former section "II.10 Adjustments to On-File Information" has been removed. A Master File will be required annually.</u> <ul style="list-style-type: none"> o <u>Section heading "III.1 Eligible Population" has been revised to show "V.1 Eligibility"</u> <ul style="list-style-type: none"> ■ <u>Section heading "III.1.1 General Description" has been revised to show "V.1.1 Approach to Determining Client Eligibility".</u> <ul style="list-style-type: none"> ■ <u>Three text boxes are included and request the following information:</u> <ul style="list-style-type: none"> ■ <u>Provide a description of the definition of income used to determine eligibility</u> ■ <u>Describe what household eligibility basis will be used in the program</u> ■ <u>Describe the process for ensuring qualified aliens are eligible for weatherization benefits</u> o <u>A new heading of "Approach to Determining Building Eligibility" has been added for section V.1.2.</u> <ul style="list-style-type: none"> ■ <u>Five text boxes are included and request the following information:</u> <ul style="list-style-type: none"> ■ <u>Procedures to determine that units weatherized have eligibility documentation</u> ■ <u>Describe reweatherization compliance</u> ■ <u>Describe what structures are eligible for weatherization</u> • <u>Section heading "III.1.3 Priorities" has been revised to show "V.3 Priorities for Service Delivery".</u> • <u>Section heading "III.3 Weatherization Work" has been revised to show "V.5 Type of Weatherization Work to be Done".</u> • <u>Section heading "III.3.1 Type of Work to be Done" has been revised to show "V.5.1 Technical Guides and Materials".</u> • <u>Within the Energy Audit Procedure section V.5.2, "Mobile Homes" has been replaced with "Manufactured Housing".</u> • <u>Section heading "III.3.4 Assessment of Effectiveness" has been replaced with "V.6 Weatherization Analysis of Effectiveness".</u> • <u>Former Section Heading "III.5 Rental Procedures" has been removed from the Master File and that information will now be found in section "V.1.2 Approach to Determining Building Eligibility".</u> • <u>Section heading "III.6.1 Description of Organization" has been replaced with "V.8.1 Overview and Organization".</u>

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

- Section heading "III.6.3 Monitoring Approach" has been replaced with "V.8.3 Monitoring Activities".
- Section heading "III.6.4 Training and Technical Assistance Approach" has been replaced with "V.8.4 Training and Technical Assistance Approach and Activities".
- Section heading "III.6.5 Energy Crisis" has been replaced with "V.9 Energy Crisis and Disaster Plan".
- Proposed alternative to funding allocations. *Section V.2 and V.8.1*
- All service providers must develop written policies and procedures for the administration of the weatherization program. *(Section V.8.1)*
- Additional income exclusions per WPN 13-3 *(Section V.1.1)*
- Additional Approved Contractor List advertisement criteria *(incorporates KHC PN 01-13) (Section V.8.1)*
- If the family size or source amount of income has changed, a new application must be processed. *(Section V.3)*
- The service provider will be required to review and prioritize all WX- 800s (single family) on a regular basis, at least every six (6) months, but no more than once a month. *(Section V.3)*
- Applicant income levels will be verified and documented through the use of the most recent check stub or bank statement. *(Due to statement only dealing with net income. Section V.3)*
- Several edits to bring training efforts and criteria current *(Section V.8.4)*
- Deferral verbiage has been increased to be more consistent with the program manual. *(Section V.1.2)*
- Incorporation of manual verbiage due to increased explanations required by DOE

Last year's changes.

- Elimination of BPI requirement for the building analyst because it was considered to be a duplication in training efforts.
- New allocation formula for the distribution of wx funds to service providers.
- The private contracting verbiage was revised so agencies no longer need to get approval from KHC to switch from in-house crews to a private contractor.
- KHC is requesting that all service providers maintain an open contractor list so new contractors can be added at anytime.
- The priority point system for single-elderly and single-disabled points were increased from 5 to 10 points
- Refrigerator Replacement Section change the number of allowable replacement refrigerators from 2 to 1 and included enhanced language on proper EPA disposal requirements.
- The Incidental Repair wording was changed to include the replacement of doors and windows if the repair exceeds 75 percent of the replacement cost.
- Clarity language added to walk away provisions.
- Maximum amount of weatherization assistance increase per regulations.

Minutes of the public hearing were recorded and transcribed. Two written comments were received in addition to comments at the public hearing. Both the minutes and the written comments are available upon request.

Minutes of WX PY12 Public Hearing on April 24, 2012

Kentucky Housing Corporation

Weatherization Program Public Hearing Reference FY 2012 DOE Plan

Attendees: 26 (including 6 KHC staff)

Richard Boggs, chief information officer of Kentucky Housing Corporation (KHC) opened the hearing. He reported the hearing was scheduled to specifically address comments to the FFY 2012 regular DOE Plan, which will take effect July 1, 2012. He noted some changes were made to the document after it was viewed by the agencies April 13 and voted on by the Board.

John Cora, director of KHC's Design and Construction Review Department discussed major changes: moving verbiage to more appropriate locations, additions, and deletions to the DOE Plan which included:

- One major change in training, the BPI requirement for BPI building analyst was dropped because it was duplication in training efforts.
- Private contracting verbiage cleaned up, agencies no longer need to get approval from KHC to switch from in-house crews to private contractors. Mr. Cora stated it is KHC's intent is to keep an open approved contractor's list, and to advertise that list once a year; new applicants can be added at anytime.
- More verbiage added that requires NEAT/MHEA generated documents, which include NEAT/MHEA work orders, bid forms and completion report forms all must be used.
- Implemented CAK's suggestion to alter the priority point system adding points to disabled and elderly, and single-elderly and single-disabled; all points raised from 5 to 10.
- Health and Safety, all moved together into the Health and Safety section of the Plan. Only change, now 24 percent rule instead of \$1,200 average; 24 percent of total program operation is the match that can be spent on Health and Safety. The maximum amount per unit rose to \$67.69.

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

- o Refrigerator Replacement Section allowed two refrigerators in a house; the Plan was changed limiting to one per unit. Stronger language was added in regard to disposal of old refrigerators. The old refrigerators must be removed and disposed of properly according to EPA refrigerant rules.
- o Incidental Repair, wording was changed to include the replacement of doors and windows if the repair exceeds 75 percent of their value, which if passes is a step toward having the opportunity to do extra measures.
- o Clarity added to Walk Away and when a dwelling needs evaluation (full blown evaluation) must be performed. Everybody is entitled to a unit walk through; upon passing the walk through, the next step is a full-blown evaluation. If at end of walk through, it is a walk away you are allowed to walk away and not spend any extra time.

Comments:

Beth Bates - Lake Cumberland Community Action

Ms. Bates stated regarding applications being increased three points as discussed, all applications on file would need to be pulled, re-done, and clients would need to come in and sign the applications, which would affect their priority points for the most part.

Mr. Cora stated would not have to re-prioritize according to this system. Annie Thompson, LKLP, asked if the applications could be pulled, points added to the application/s, and initialed instead of doing a re-application. Mr. Cora stated yes, and he will distribute it officially in writing.

Ms. Bates stated regarding the new walk away procedure discussed, are written notification, declines, still required and do they have to be given 30 days. She reported LKLP recommends services for them to correct their issues, but asked if still need 30-day window. Mr. Cora stated the finding reveals people were walking away from units and not performing a walk through. A unit must be walked through and if the walk through passes a full-blown evaluation must be performed. For rest of deferral nothing has changed; it is the same process.

Anna Whites - Lake Cumberland Community Action

Ms. Whites objected to the two minute speaking period. She reported with the very small crowd two minutes were not enough time for a meaningful comment. As reported each year, she objected to KHC's failure of providing public notice and when the public hearing was being held. She noted no members of the public were in attendance at the meeting. She was not able to find the public hearing notification on KHC's Web site nor did she see it in local media or hear it on the radio. She stated three working days ago, CAK notified the agencies of the hearing. She said it is impossible for the public, the people who receive the services, to know they have a right to come when they have not received the notice. She reported transparency is key to using state and federal funds. The state and feds both have rule-making procedures that emphasize the importance of fair notice and fair hearing, and that nobody in the State of Kentucky had been offered that. The agencies at today's hearing can represent their clients, but that is not the same as the individuals being able to represent their own interest. They are not weatherizing our homes; they are weatherizing the homes of people who cannot be here because they did not know about the hearing.

Secondly, the formula for division of funds, we were told nationally would be a rationally and geographically improper formula that was abandoned and would be available on the Web site so changes of the data and the story of the formula of what KHC is relying on for each section could be viewed. Ms. Whites reported she spoke with Richard McQuady and was assured information would be provided prior to the hearing, and all that he was able to say was that his people say it is the Census. She said a lot of people from her office and agency offices looked at the Census and did not see percentage of households in poverty, which is one of your things. She stated we all admit that we do not know what the CHS formula was based on and it is one of the models being used. If there is no rational basis for the formula, it is inappropriate. She realizes that at the CAK meeting, and with short notice days before the hearing, days before agencies had opportunity to get the money, and recognizing it is a small pool, KHC said it is this or we do not have any alternative. The agencies voted to accept the allocation for this year. She reported she made it clear to Mr. McQuady and clear to everyone in the room, that does not mean the formula is reasonable, appropriate based on any evidence that anybody has in the room unless there is evidence KHC has that those present do not have. Again, transparency is key, public oversight is key, it is taxpayer money and they deserve to know exactly how allocations are determined. This is not aimed at any agency, she advises her clients to grab every dollar they get and do not let it go. There is too much need and not enough money she blames no agency and if she got it all for Lake Cumberland they would hold on to it, that would be illegal and wrong. This is just KHC you have to have a rational formula and it is inappropriate and illegal without that.

Ms. Whites stated in her written comments, and when KHC tell when and where to file those, she will address various issues: KHC is apparently paying full-time staff for full-year of service; we all know our staff have two to three months to serve, not sure what KHC staff will be doing for remaining 9 months, but funds should not be used for that unless there is a rational basis, again there may be but that has not been presented; taxpayers need to know that; it is a huge hole in transparency. That money could better be used to service homes—the agencies have been doing it for thirty plus years and are good at it, crews are well trained, know how to do the job and can be moved forward. She said any extra dollar not going to direct service provision should be refunded to the agencies so they can use it for that. She stated there is a large sum for pollution insurance, but no proof in the plan that it is what it costs. People assure her it is expensive, but there has to be a rational basis also for that. Every item of funding that is taken in the _____ (sign) somewhere has to have a rational basis, have to know why and then basically without that we have nothing; in this plan we have nothing. Neither her or her office, nor the public can understand where the money is going and why and what the formula is based on, or

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

(Grant Number: EE0006156, State: KY, Program Year: 2013)

~~how it is used. She concluded have to have transparency, it is taxpayer's money, and have to justify where it is going.~~

~~Mr. Boggs asked written comments by what time and where. Tiffany Marthaler reported by 2 p.m., Tuesday, April 24, 2012.~~

~~Mike Moynahan - Community Action Kentucky~~

~~Mr. Moynahan had quick comment on change made from original budget to the composite for daily grantee T and TA, is that a reflection of the money that will be allocated to CAK for trained technical assistance or has that changed? Ms. Marthaler stated no. We are still negotiating that, additional funds is a result of trying to move some of the training salaries to a different cost center to free up more money for CAAs to train their staff.~~

~~Mr. Moynahan stated there may not be any money still for CAK that would have to be put in the Plan. Mr. Boggs, yes, the Plan would have to be amended and the information put in the Plan. Ms. Marthaler reported that is still being negotiated.~~

~~Mr. Moynahan reported for the record, want to make ease CAK provides a good service, have cost net service that has been enhanced since ARRA began, and want to make sure that CAK continues to provide that service, provide the training, and technical assistance and feel we provide a role and want to be included in the budget at some point.~~

~~Mr. Boggs asked if any one else wanted to speak. The only other person left who signed to speak was Bruce Brown. Mr. Brown reported his questions had already been addressed.~~

~~As there was nothing further, the hearing was adjourned.~~