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U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007921, State: KY, Program Year: 2017)

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

V.1 Eligiblility

V.1.1 Approach to Determining Client Eligibility

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

For a dwelling unit to be eligible for weatherization assistance, it must be occupied by a client/family who must meet one of the following criteria: (UPDATE PER WPN 11-5)

1. Total annualized income of the client/family residing in the dwelling to be weatherized is at or below 200% of the poverty level determined in accordance with the most current criteria established by the Director of the United States Office of Management and Budget; or

2. The family unit has a member who has received cash assistance payments under Temporary Assistance for Needy Families (TANF) or Kentucky Transitional Assistance Program (K-TAP) sometime during the 12 month period prior to eligibility determination*: or:*

3. The applicant's household contains a member who has received cash payments under Title XVI of the Social Security Act during the twelve (12) months preceding the determination of eligibility, the applicant will be categorically eligible.

To be eligible for weatherization assistance, an applicant must fill out an Application and Prioritization for Weatherization Services (WX800), provide required documentation of income and home ownership, reside in the home to be weatherized, and meet the WAP income eligibility criteria in #1 above. Program Notices from DOE will indicate an effective date of any revised poverty guidelines.

An applicant will remain eligible for weatherization services for 12 months from the date of verified eligibility. If 12 months have passed from the date of verified eligibility, and no weatherization work has begun, the household must show continued eligibility. Weatherization work begins on the date a complete audit can be preformed.

When considering earned income from salaries and wages, all pay periods must be accounted for in the period used to establish eligibility.

Examples:

52 pay periods per year, if paid weekly, 26 pay periods per year if paid every 2 weeks, and 24 pay periods if paid twice per month. Average income reported by current members of the household will be considered. If using an annualized calculation at least 6 weeks of income must be considered.

Application intake workers must carefully determine which Title the social security is awarded under before determining eligibility.

For households that contain a member who received cash assistance payments under Title IV or XVI of the Social Security Act, which is more commonly known in Kentucky as Kentucky Transitional Assistance Program (K-TAP) funded through the federal Transitional Assistance for Needy Families (TANF) Supplemental Security Income (SSI), they automatically qualify for weatherization assistance. Subgrantee will not need to do any further income verifications once K-TAP and / or SSI are confirmed as a source of income in the household.

Note: SSI is different than Social Security Disability Insurance (SSDI), defined by Title II of the Social Security Act. Receiving SSDI will not categorically qualify a household.

If the applicant household contains a member who has received cash payments under Title XVI (SSI) of the Social Security Act or KTAP at any time during the twelve (12) month period preceding the determination of eligibility, the applicant is categorically eligible. This does not mean that if the client is earning disability social security income that they are to receive assistance automatically. These individuals may have disability income plus other income that exceeds income limits, thereby removing their eligibility. The ruling means that if the client has received Title IV or Title XVI assistance (welfare assistance), they are already disabled, but very low-income.

In households consisting of eligible and ineligible household members, the income of all household members (eligible and ineligible) will be counted when determining eligibility.

INCOME - Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s) but not the Income Exclusions

listed below in Section B.

A. CASH RECEIPTS:

Cash Receipts include the following: 1. money, wages and salaries before any deductions; 2. net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses); 3. regular payments from social security, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments; 4. private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments; 5. dividends and/or interest; 6. net rental income and net royalties; 7. periodic receipts from estates or trusts; and 8. net gambling or lottery winnings

B. INCOME EXCLUSIONS: The following Cash Receipts are not considered sources of Income for the purposes of determining applicant eligibility: 1. capital gains; 2. any assets drawn down as withdrawals from a bank; 3. money received from the sale of a property, house, or car; 4. one-time payments from a welfare agency to a family or person who is in temporary financial difficulty; 5. tax refunds; 6. gifts, loans, or lump-sum inheritances; 7. college scholarships; 8. one-time insurance payments, or compensation for injury; 9. non-cash benefits, such as the employer-paid or union-paid portion of health insurance; 10. employee fringe benefits, food or housing received in lieu of wages; 11. the value of food and fuel produced and consumed on farms; 12. the imputed value of rent from owner-occupied non-farm or farm housing; 13. Depreciation for farm or business assets; 14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance; 15. combat zone pay to the military; and 16. Child Support, as defined in the most recently issued DOE guidance on POVERTY INCOME GUIDELINES AND DEFINITION OF INCOME. 17. Reverse mortgages; 18. Payments for care of Foster Children;

Describe what household Eligibility basis will be used in the Program

The 200% of the poverty level basis is determined in accordance with criteria established by the Director of the United States Office of Management and Budget.

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

When an applicant declares themselves an alien, and qualified to apply for WAP, agencies must submit the documentation provided by the applicant to KHC to verify their "Qualified Alien" status. KHC will utilize the SAVE database for verification and provide written approval back to the agency. Agencies must have a copy of this approval in the client file. Reimbursement for any service, evaluation, or work is not allowed without written confirmation that verification has been successfully completed by KHC.

QUALIFIED ALIEN- For purposes of the WAP, the term `qualified alien' means an alien who, at the time the alien applies for, receives, or attempts to receive a Federal public benefit, is--

- (1) an alien who is lawfully admitted for permanent residence under the Immigration and Nationality Act,

  (2) an alien who is granted asylum under section 208 of such Act,
-
  - (3) a refugee who is admitted to the United States under section 207 of such Act,
-
  - (4) an alien who is paroled into the United States under section 212(d)(5) of such Act for a period of at least 1 year,
  - (5) an alien whose deportation is being withheld under section 243(h) of such Act, or
  - (6) an alien who is granted conditional entry pursuant to section 203(a)(7) of such Act as in effect prior to April 1, 1980.

    (7) battered alien spouses, battered alien children, the alien parents of battered children, and alien children of battered parents who fit certain criteria.

    (8) Cuban/Haitian entrants.

(9) Cuban/Haitian entrants.

Some common verifiable forms
I-327 (Reentry Permit)
I-551 (Permanent Resident Card)
I-571 (Refugee Travel Document)
I-766 (Employment Authorization Card)
Certificate of Citizenship
Naturalization Certificate
Machine Readable Immigrant Visa (with Temporary I-551 Language)
Temporary I-551 Stamp (on passport or I-94)
I-94 (Arrival/Departure Record)
I-94 (Arrival/Departure Record) in Unexpired Foreign Passport
Unexpired Foreign Passport
I-20 (Certificate of Eligibility for Nonimmigrant (F-1) Student Status)
DS2019 (Certificate of Eligibility for Exchange Visitor (J-1) Status)

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling will be weatherized until it is determined that the dwelling occupants are income eligible. Applicant income levels will be verified and documented through the use of the most recent check stubs or Social Security checks or statements, LIHEAP application, Department for Community Based Services' Temporary Assistance for Needy Families (TANF) or Kentucky Transitional Assistance Program (K-TAP), food stamp program and other similar programs. Categorical eligibility will be verified and documented through the use of SSI award letters and copies of SSI checks. These records will be obtained by the intake worker during the application process. The application and supporting documentation will be reviewed and verified by the program coordinator.

After an applicant has been determined eligible for assistance, the Weatherization Coordinator or the Executive Director must sign the WX-800 certifying the eligibility prior to any work being done to the dwelling.

Members of Indian Tribes: Native Americans identified as eligible shall receive benefits equivalent to the benefits provided to other low-income persons.

Income Verification for Shelters

A statement, from the shelter management or owner that identifies the target population served and entrance criteria, will serve as income verification for shelters. The entrance criteria must serve a population at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget. Each 800 square feet or each floor of the shelter will count as one dwelling unit.

Describe Reweatherization compliance

The term "Re-weatherization" applies only to those units which fall into the categories below and described under 10 CFR 440.18(e)(2)(iii)

Re-weatherization Eligibility Criteria: Service providers will not be allowed to use contract funds to install Weatherization materials or provide other Weatherization services to a dwelling previously served with contract funds unless one of the following conditions exist:

1. The dwelling unit has been damaged by fire, flood, or other Act of God and repair of the damage to Weatherization material is not covered by insurance.

2. Written permission from KHC must be received prior to any work starting.

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3. Dwelling units weatherized on or prior to September 30, 1994, may receive further Weatherization. These dwellings will receive a new dwelling needs evaluation and will be eligible for services.

Describe what structures are eligible for weatherization

Eligible Structures include single family dwellings, manufactured housing, mobile homes, shelters and multifamily rental buildings. Any non-traditional structures such as apartments over businesses and shelters must have approval from KHC prior to any weatherization process beginning.

The weatherization of non-stationary campers and trailers that do not have a mailing address associated with the eligible applicants is not allowed. The use of a post office box for a non-stationary camper or trailer does not meet this requirement.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Policy

Policy for weatherizing rental housing: single family homes, duplexes to four-plexes and multi-family structures.

Before any weatherization services are provided, including inspection of rental units, ownership must be clearly established. Legal ownership, including all parties that have fractional or limited interest, shall be verified by a copy of the legal title (deed) which shall be kept on file with the agency overseeing the project.

A WX Rental (Agency/Landlord Weatherization Agreement for Rental Property) must be signed by both parties documenting and certifying they agree to comply with the terms of the agreement before weatherization work is initiated. See III.5 Rental Procedures for a complete description of rental property. (moved from section 111.2)

Multifamily buildings are eligible if 66 percent of the dwelling units in the building (50 percent if fewer than five) meet WAP's income eligibility requirement for a family unit whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget. Certain pre-screened properties from the DOE/HUD have already been determined to meet this requirement and need no further income documentation (Multifamily Weatherization Initiative "Fact Sheet" HUD. 4-26-2010.) Each property will be assigned a Priority Point number. This number will be determined by combining all priority points per eligible household and dividing that number by the total number of income eligible households that the property contains. This "Average" will be the number that is used to rank that property for the purposes of receiving Weatherization services. For the purposes of certifying a complex as eligible for Weatherization, all information will be current as of the date of initial application by the Landlord and verified by the service provider. Subsequent move outs by tenants after this time will not affect the eligibility of the complex. However, after a period of one year has elapsed, the multifamily complex will need to be recertified. Multifamily properties on the list published by DOE are presumed to meet WAP income eligibility requirements but are not given any preference over properties not on the list with respect to eligibility or place in queue. Income data will need to be collected on these properties in order to give them an accurate priority point number (Multifamily Weatherization Initiative "Fact Sheet" HUD. 4-26-2010.)

Determining property as "owner occupied" or "rental":

If the applicant can be verified as the sole owner by a deed or a will, the dwelling shall be considered **owner occupied.**

If the applicant is occupying a dwelling for which he/she is paying mortgage payments or for which he/she has signed a land contract or had entered into a lease with the option to purchase, the property shall be considered **owner occupied**.

If the applicant applying for assistance has no legal fractional or limited interest in the property being occupied, such property is **rental** regardless if rent is paid or not.

If the applicant applying for assistance has a legal fractional or limited interest in the property by pays some sort of rent to one or more of the other fractional or limited interest owners, such shall be considered **rental**.

If the applicant applying for assistance has a legal fractional or limited interest in the property and pays no rent, such property shall be considered **owner occupied**.

If the applicant applying for assistance does not legally own the property but pays no rent and no other entity pays rent on his behalf, such property shall be considered **rental**.

Owner(s)

General. For any rental unit to receive weatherization service the occupants must meet the current income eligibility guidelines. Once eligibility (per WAP federal guidance for single and multifamily) is confirmed, the owner(s) of the housing unit(s) must agree to following:

1. To not increase the rent on any living unit weatherized for a period of 18 months from the date of the final inspection as documented by the WX-710, Completed Dwelling Report. Furthermore, the owner shall not alter any other rental agreement that is in place for an 18 month period beginning with the date of the final inspection. For example, rent that includes utilities shall not be altered during the 18 month period unless it can be demonstrated in writing that such an alteration shall be in the best interests of the tenant occupying the rental unit. The service provider, as well as Kentucky Housing Corporation (KHC), shall reserve the right to accept or deny such alterations on an individual basis.

2. To enter into an Agency/Landlord Weatherization Agreement for Rental Property (WX Rental). This document shall be signed by the agency and owner, and kept on file with the agency overseeing the project.

3. To not sell the rental unit(s) for a period of 18 months, and;

4. To reimburse the Kentucky Housing Corporation (KHC) Weatherization Assistance Program (WAP) the full cost of all weatherization funds in the event that unforeseen circumstances shall necessitate the sale on any and all rental units served within the 18 month period beginning with the date of the final inspection.

5. To inform all tenants about the scope and type of work that will likely be performed on their dwelling(s). This shall take place in conjunction with the program's routine client education component.

Tenant(s)

General. For any rental unit to be considered an eligible unit the occupants must meet the current income eligibility guidelines. Once eligibility is confirmed the tenant (s) of the housing unit(s) must agree to the following:

1. To abide by all conditions set forth on the WX-800, Weatherization Application Form, including providing access to their dwelling for the contractor or work crew, representatives of the service provider, and KHC staff, as the dwelling is being weatherized.

2. To report to the service provider representative and KHC any increase in rent or other alteration in their rental agreement with the owner for an 18 month period beginning with date of the final inspection.

Service Provider

General. For any rental unit to receive weatherization service the occupants must meet the current income eligibility guidelines. Furthermore, the service provider shall establish clear ownership of the property including all parties with fractional and limited interest. A WX-800T Weatherization Application Form shall be completed for each living unit to be served. Also:

1. The service provider shall educate the occupant(s) about the weatherization work that will likely be performed on their dwelling.

2. The service provider shall oversee the project. As such, the service provider will assist as needed in every aspect of the job: scheduling, inspecting, special arrangements if any, resolving disputes, and obtaining all needed signatures and documentation.

3. The service provider shall ensure that all households in weatherized units have a direct means of communicating with its representatives during both the weatherization work and the ensuing 18 month rental control phase.

4. The service provider shall inspect, document, and develop work specifications for each living unit using accepted inspection processes and appropriate energy audit software. The service provider shall perform and document a final inspection in which all parties involved must sign off on to verify completeness of and satisfaction with, all work performed.

Limitations and Scope of Work

General. Any occupant of a rental unit of any kind is eligible for weatherization service provided the occupant's household meets the income guidelines set by the Department of Energy (DOE). Additionally, the owner(s) of the dwelling must agree to the conditions previously stated and enter into a Landlord/Tenant Agreement with the tenant(s). Apart from these conditions the following restrictions apply to weatherizing rental housing units:

1. No service provider shall weatherize more rental units than one third (33%) of its planned completions for a contract year without written approval from KHC. In seeking such approval the service provider must explain how exceeding this cap will benefit the clients that it serves and that in doing so equitable service shall be maintained throughout its entire service area.

2. No owner, developer, or landlord shall receive weatherization service for more than 25 rental units under its ownership (full or in partnership) with any individual service provider in a contract year, without written approval from KHC.

3. KHC reserves the right to consider large multi-family projects that exceed the limitations described above; and allow such projects to go forward provided , a.) The service provider can show that such projects are a best use of its resources for the area that it serves; b.) And that equitable service will be maintained in its service area.

4. All rental weatherization projects shall be prepared and completed in accordance to the appropriate DOE approved energy audit software, local ordinances, state weatherization assistance program policy and prevailing building codes.

5. Service providers that wish to serve multi-family structures larger than stand-alone ten-plex units must advertise in local media, i.e., newspapers, community cable channels, websites, etc. the opportunity for all area owners/landlords/developers to have their properties weatherized by the WAP. For such projects, KHC reserves the right to allow or deny service based on the written justification provided by the service provider, all other conditions described in this section, and assurance that all Equal Opportunity requirements with respect to contracting (if applicable) are met. Preference shall be given to owners/landlords/developers that make financial contributions towards the weatherization of their properties.

6. No undue or excessive enhancement to the value of the dwelling units is allowed. Only weatherization measures generated from the approved audit software, that is appropriate to the type of structure, may be installed. All Health and Safety measures must be in conformance with section III.4 (Health and Safety) of this plan.

Describe the deferral Process

Deferrals:

Deferrals, or "walkaways" as they are commonly known, are processed accordingly:

1. Local agencies may defer weatherization work if they encounter problems that are beyond the scope of the Weatherization Assistance Program.

2. A "deferral" is a dwelling that has been inspected by a qualified person who has determined that conditions are present which prohibit rendering service.

3. It is the role of the inspector to weigh all factors and decide whether to proceed or not.

4. Deferring weatherization work does not mean assistance will never be available, but that any work must be postponed until problems can be resolved and alternative sources of help are found as necessary.

5. In the event the inspector determines the dwelling is a deferral, the following procedures shall apply:

a. The client shall be informed in writing (via certified mail or the agency must obtain a signed document acknowledging receipt of deferral notice) as to why the dwelling cannot be weatherized. The conditions that must be corrected before service is provided, are also required to be stated in writing.
b. The service provider is required to refer the client to any alternate program such as home rehab, if one is available in the area.
c. The service provider shall clearly indicate in the client file why the dwelling was given "deferral" status. A copy of the client deferral letter and all referrals to other programs or services must be in the client file.
d. The client will receive any information prescribed in the Health and Safety section of the WXPM that is appropriate.

6. A "walk-away/deferral" is not a completion. Reimbursement for a "walkaway/deferral" shall be obtained through the normal monthly billing process.

7. Deferral guidelines may include (but are not limited to) the following:

a. The client has known health conditions that prohibit the installation of insulation and other weatherization materials.

b. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner.

c. The house has sewage, animal feces or other sanitary problems that would further endanger the client and the weatherization installers if weatherization work were performed.

d. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by a local or state building official or utilities.

e. Mold and Moisture problems are so severe they cannot be resolved under existing health and safety measures and minor repairs.

f. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.

g. The client is uncooperative, abusive, or threatening to crew, auditors, inspectors, contractors, or others who must work on or visit the house.

h. Lead-based paint is determined to be in the home. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.

i. Asbestos anywhere on the interior or the exterior of the dwelling would require deferral of weatherization services if any weatherization work measure would disturb the asbestos. Asbestos cannot be handled, altered, disturbed, cut, drilled, sanded or be subjected to any other action that would create a danger to the homeowner or any weatherization staff/contractor.

j. Flea/Pest infestation within the dwelling, or in any area outside of the dwelling where weatherization staff/contractors would have to work (Pests include but are

not limited to: fleas, roaches, bed bugs, rodents).

k. If in the judgment of the energy auditor, conditions exist which may pose a risk from fire, falling, poor sanitation, endanger the health and/or safety of the work crew or limit access for evaluation or measure installation. Work should not proceed until the condition(s) is/are corrected.

8. Local agencies must actively pursue all alternative options on behalf of the client, including referrals, and use good judgment in dealing with difficult situations.

Corrected Deferral Conditions

1. If a client has subsequently corrected issues/problems identified that constituted a deferral at the time of the dwelling needs evaluation or the initial application/screening process, the following process will apply:
a. The items identified that caused the initial deferral determination must be verified as having been corrected. Verification may take the form of a document specifically listing all items that caused the deferral, and a description of the actions taken that corrected the problems/issues. This document must be signed/dated by the client and once verified, signed/dated by the Weatherization Director and or a Certified Dwelling Needs Evaluator. The method of verification must also be disclosed on this document, i.e. : on site verification at the client's home, etc. b. An applicant will remain eligible for weatherization services for 12 months from the date of verified eligibility. In addition to step a., if 12 months have passed from the date of verified eligibility, the household must show continued eligibility. If weatherization work has not begun after 12 months from the date of eligibility, the household must reapply in full.

Once items a. and b. have been satisfied, the client application will be allowed to be moved to the top, the next to be served, on the prioritization list.

V.1.3 Definition of Children

Definition of children (below age): **18**

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.

Native Americans identified as eligible shall receive benefits equivalent to the benefits provided to other low-income persons.

V.2 Selection of Areas to Be Served

Each service provider selected to operate the weatherization program will be a Community Action Agency or other public or non-profit organization so that the entire state has access to weatherization services. The service providers are selected based on the Agency's ability to operate programs for low-income families and experience in operating a weatherization or housing rehabilitation/renovation program. Each area is contiguous with the area served by the individual Community Action Agencies or the particular county or municipalities served by local governmental entities, which operate low-income housing rehabilitation programs in their respective areas.

Community Action Kentucky (CAK) currently has twenty-three (23) Community Action Agencies in the state of Kentucky. Each has a number of years of experience at administering and operating a weatherization program. All are expected to operate a program that meets the minimum standards as measured by the grantee during its on-site performance and compliance monitoring.

In the event one of the identified agencies is unable to provide services under this plan due to decisions on their part or severe compliance findings, another entity (ies) will be identified to serve that area. A request for qualifications will be issued and KHC and CAK will evaluate interested parties. When determining to which agency(ies) funds will be reallocated, KHC and CAK may consider such factors as work qualifications, remaining funds available to expend, proximity and ability to serve the additional area, as well as federal compliance experience.

V.3 Priorities for Service Delivery

Priority shall be given to identifying and providing weatherization assistance to families whose annual household income does not exceed 200% of the poverty level. Once this has been established, the household will be prioritized according to its occupancy with preference given to those households containing an individual who is elderly, a young child (children at/or below the age of 6), or a disabled individual. Also, patterns of high energy burden are factored into the priority ranking, which agencies consider a low-income household whose high energy burden (high expenditures divided

by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State. The state does not currently give a priority to high energy use.

Each eligible household is prioritized for selection to receive assistance. This is accomplished by using the information gathered on the application (WX-800) through a point system. The point system awards 10 points for elderly and disabled family members and 10 points if a household consists of a single elderly and/or disabled occupant. Additional points are awarded to households with the lowest annual income which use the highest percentage of their income for residential energy costs (energy burden), and households which use the highest cost fuels per BTU of energy provided. The point spread for the energy burden category ranges from two points for 0-6% of income used for energy costs to 15 points for 34% and above of income. The primary fuel type is also evaluated with a point spread of from 2 to 8 points with electricity receiving 8 points and coal receiving 2 points. In addition, if a household has members who are elderly or disabled, an additional 4 points will be added if the household's energy source is wood or 6 points if the energy source is coal. Households with children under the age of six will receive an additional 5 points.

Households that are eligible and have children identified by the Department for Community Based Services local office as being at risk of being removed from the home, if the home conditions are substandard and are in need of weatherization, will be red flagged as priority and will receive service immediately. Examples of this are but not limited to; breaches in the thermal envelope that could be repaired or replaced within the scope of program ECM or H&S policy, unsafe or inoperable heat system that could be repaired or replaced within the scope of program ECM or H&S policy, or other measures that could be repaired or replaced within the scope of program H&S policy,

Applications are taken throughout the contract period and maintained until services are provided. The service providers are required to re-prioritize applications on a regular basis. If the application is on file longer than twelve (12) months, the agency must contact the client to re-verify the information given at the time of application before service is provided. If the family size or amount of income has changed, a new application must be processed.

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, in order that those applicants with the highest priority ranking are served first. Applicants not receiving sufficient priority ratings for the period reviewed will be annotated and will remain eligible for the following period. Service providers have the option of prioritizing applications by county or for the entire service area, whichever helps the service provider utilize the work crews in the most cost-efficient manner.

It will be the responsibility of each service provider to assure that major political subdivisions of its service area receive the same outreach and intake opportunities relative to their share of eligible household population. Each service provider must have the capacity to find and identify eligible households throughout its service area. KHC will monitor each service provider's files during program monitoring visits to assure that sufficient applications are being accepted throughout its service area.

Documentation of Eligible Units.
To be eligible for Weatherization services, a dwelling unit must be occupied by an eligible family unit as described above, a completed application must be on file and all client information verified and approved.

Dwelling units whose principle purpose is to house individuals, on a temporary basis, are shelters and are eligible to receive service. Note: Nursing homes, prisons, or similar institutional care facilities are not eligible. Each 800 square feet or each floor of the shelter will count as one dwelling unit.

Applicant income levels will be verified and documented through the use of the most recent check stub , Social Security checks, LIHEAP applications, Department for Community Based Services' TANF or K-TAP programs or food stamps verification printouts or other similar records. The intake worker will obtain these records during the application process. The application and supporting documentation will be reviewed and verified by the Weatherization Program Coordinator. The Weatherization Program Coordinator must sign the WX 800 certifying eligibility before any work can be done to the dwelling.

Supplementation of Funds:

The service providers will use funds provided under this grant to supplement, and not supplant, state or local funds.

In subcontracts, the wording is such as to restrict using Weatherization funds to supplant state or local funds. Where local funds provide related dwelling repair services, Weatherization funds will be strictly used for approved conservation measures.

V.4 Climatic Conditions

The NEAT/MHEA or EQ-QUIP (appropriately) audit will be used for every evaluation performed. Audit results will ensure that the installed measures reflect the housing stock and climate through the application of local weather parameters and current dwelling characteristics and energy use data. Blower door use on every dwelling will assure minimum ventilation requirements are maintained. There are not enough differences in the climatic conditions in the state to have any major effect on the NEAT or MHEA audits.

NCDC / Get/View Data / Comparative Climatic Data / Search

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(Grant Number: EE0007921, State: KY, Program Year: 2017)

Normal Monthly Heating Degree Days (Base 65)

	YRS													Annual Total
JACKSON, KY	30	0	4	44	263	522	830	966	761	557	273	128	10	4358
LEXINGTON, KY	30	1	2	53	284	574	877	1026	819	616	332	119	13	4716
LOUISVILLE, KY	30	0	1	36	240	527	838	992	779	569	280	84	6	4352
PADUCAH KY	30	0	0	38	229	516	833	978	750	529	250	67	2	4192
GREATER CINCINNATI AP	30	1	3	68	326	626	953	1110	899	684	373	138	19	5200

Normal Monthly Cooling Degree Days (Base 65)

GREATER CINCINNATI AP	30	0	0	3	13	71	209	334	280	126	16	1	0	1053
JACKSON, KY	30	0	0	0	11	100	201	310	277	130	29	1	0	1059
LEXINGTON, KY	30	0	0	3	16	80	228	350	307	147	21	2	0	1154
LOUISVILLE, KY	30	0	0	6	24	109	287	421	374	189	29	3	1	1443
PADUCAH KY	30	0	0	6	33	122	320	444	377	191	37	3	0	1533

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Weatherization measures will be selected from those available through the NEAT or MHEA and specific additional itemized measures that are allowed by 10 CFR Part 440, Appendix A. Installed measures will be limited by the audit and allowable federal and state cost limits. All work must comply with the Kentucky Weatherization Program Manual (WXPM) Revision date of October 8, 2014 and the Kentucky Weatherization Program Field Guide Revised date 9/9/14. Hard copies were distributed to all agencies and CAK. As these guides come up for revision new copies will be distributed. The field guide and program guide are also located on the resource tab of the KHC website's Weatherization page by pastintg this link into your browser; http://www.kyhousing.org/Development/Single-Family/Pages/Weatherization-Assistance-Program-Resources.aspx These versions are downloadable for immediate use. All units utilizing this funding award will be inspected to ensure compliance with the SWS incorporated in the Kentucky Weatherization Field Guide as approved by DOE.

Training Provided

The KHC Residential Energy Efficiency training center meets the milestones mentioned in WPN-4 by currently providing training on two levels:

Tier 1 Training: Comprehensive, occupation-specific training following an IREC accredited curriculum aligned with the JTA for 4 different weatherization occupations (Retrofit Installer, Crew Leader, Energy Auditor and Quality Control Inspector). The REE training center is an IREC accredited facility and also an approved BPI test facility. All training is taught by staff holding BPI certifications in those designations. We have 14 Tier 1 trainings scheduled for this current callendar year.

Tier 2 Training: Single-issue, short-term, training to address acute deficiencies in the field are also taught at the REE training center. These courses include; ASHRAE 62.2, Building Analyst, Combustion Appliance Zone, Dwelling Needs Evaluator, Leakage Envelope and Ducts, Infiltration Duct Leakage and NEAT/MHEA. Individual sections of the Retrofit Installer class can be pulled out for individual training such as dense packed wall, crawlspace and chimney kit installation. This plan also recognizes conference training sessions to be included in this category.

Furthermore, past the requirements of WPN-4, Section 4, the REE center is targeting the multifamily weatherization market by endeavoring to build a working multifamily building prop by utilizing existing connected spaces and building new connecting vertical spaces to simulate garden style units. We have one staff who holds a BPI Multifamily Building Analyst designation and we intend to have two more staff trained this year. The final faucet of this initiative is to develop or purchase an approved multifamily curriculum and begin auditing classes.

KHC will incorporate the following verbiage into all WAP contracts or agreements with subgrantees;

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007921, State: KY, Program Year: 2017)

By signing this contract this entity acknowledges they understand the expectations for the quality of work to be delivered is to be equal to, and align with, the Kentucky Weatherization Field Guide and the National Renewable Energy Lab (NREL) Standard work Specifications (SWS). Furthermore this entity acknowledges this verbiage and understanding is to be passed to any subcontractor in practicality and in all written agreements.

Type of Work

Measures could include but are not limited to the services listed below:

Health and Safety

The correction of existing or potential conditions causing a safety hazard before, or because of, the installation of weatherization materials. These actions are addressed in 111.4.

Health and Safety Justification

The average H&S amount per dwelling for the Kentucky WAP was at $1,000 dollars, or more, for seven years. When analyzing this history, the percentage of health and safety is far greater in the earlier years due to the lower overall allowable cost per unit and the availability of LIHEAP funding. In 2009 our approved maximum H&S average per unit was increased to $1,200 along with the increase to $6,500 allowable maximum weatherization average per unit. LIHEAP transfer funding became available in 2013, however it was pledged to be run exactly like the DOE WAP. Our current state LIHEAP plan will allow exceeding the *DOE H&S* cap with LIHEAP funds. Agencies must utilize LIHEAP or other non-DOE funds for any H&S amount exceeding their individual 20% DOE H&S allotment. These other funds must be segregated clearly in the client file and audit.

The following chart *averages* represents a 48 % sampling of *agency data for* health and safety measures completed on units, in the *most recent 3 to 6 months of production, at the time of sampling which was March 2015.*

The heightened awareness of indoor air quality, due to implementation of ASHREA 62.2, has brought an increase to the frequency rate of which mechanical ventilation is used in our state. Also an increase in pre-evaluation and final test out time has occurred since this new H&S plan was fully implemented. This additional time is necessary to spend with the client to carefully explain new elements such as the need for ventilation along with gathering written documentation that demonstrates the weatherizing agency has performed due diligence with respect to informing and educating the client of any known or perceived hazards.

As a state we will begin this program year with a shortage of QCI inspectors and an increase in H&S labor costs for the H&S portion of the process is anticipated.

Allowed Measure	Percentage of Frequency	Average cost of Measure	Total Averages from sample
Combustible Gas (leaks and proper supply piping to meet code)	42%	$109.20	$46.39
Combustion Venting (repair & bringing existing venting systems up to code)	32%	$187.38	$60.35
Combustible surface (bringing heat systems into clearance, and safety compliance)	20%	$97.53	$19.43
Other Appliance Repair (mainly repair to secondary heat systems water heaters)	49%	$132.48	$65.51
Heating Unit Repair	53%	$309.42	$162.67
Heating Unit Replace	15%	$1198.12	$221.32
Smoke/CO Detector	98%	$133.63	$130.5

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Lead Safe Work practices	**14%**	**$106.02**	**$15.03**
Duct Replace / Install	**44%**	**$34.09**	**$15.14**
Mechanical Ventilation	**88%**	**$537.69**	**$473.18**
Evaluation Labor	**100.00%**	**191.21**	**$191.21**
		$3036.76	**$1400.73**

Infiltration Reduction

Repairs to all areas of significant air infiltration, including attic bypasses and repairs to tighten heating ducts.

Baseload

Replacement is dependent upon NEAT/MHEA or EA-QUIP Audit
Low Flow Showerheads
Minimum of 1 as plumbing conditions permit
Fluorescent Light Bulbs - Minimum of **1**
Refrigerator Replacement per unit - Units to be replaced shall be taken to a facility, licensed to reclaim refrigerant. No refrigerator taken out of service shall be sold or returned to service. Refrigerator replacements are basic units that do not include ice makers or water dispensers. Water heater jacket, duct wrap or an energy using item that are not heat and cooling systems. Old refrigerator must be removed from the unit being served and disposed of per EPA standards.

Attics

Attic insulation and incidental repairs.

Walls

Wall insulation and incidental repairs.

Floors

Floor insulation, water pipe wrap and other incidental repairs.

Incidental Repairs

Incidental Repairs are those repairs necessary for the effective performance or preservation of weatherization materials. When a repair activity is a component of an energy efficiency measure that is being installed then the installation and materials are part of the efficiency measure and are classified as incidental repair. Such repairs include, but are not limited to, repairing (or replacement if repair costs exceeds 75% of new installation) windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program. Roof repair, knob and tube removal (including the installation of replacement wiring) for protection of and safety of insulation measures, minor electrical repairs (installing miscellaneous wiring, junction boxes and covers to ensure connections meet code), electrical upgrades to handle extra load for HVAC replacement, all of these meet the definition of incidental repair and are allowed as such. The cost of incidental repairs must be included in the cost of the package of measures.

Dwelling Needs Evaluation

Prior to any work being done on a dwelling, the dwelling must receive a Dwelling Needs Evaluation (DNE) as described below. Only those weatherization measures that are identified by the DNE can be performed. In addition, these measures cannot exceed cost limitations.

A. Site Eligibility and Dwelling Needs Evaluation Standards. Each dwelling will have, at a minimum, an onsite walk-through inspection of its interior, exterior and immediate surroundings by a qualified Dwelling Needs Evaluator.

B. Site Ineligibility. Should any dwelling be determined to be ineligible (See Section V.1.2 Deferral) due to site conditions, the client will be advised of the problem and, if possible, of other service organizations that may be able to assist in solving the problem. The client shall be informed in writing

as to why the dwelling cannot be weatherized. If there are conditions that the client must correct before service is provided those conditions must also be stated in writing. The service provider shall clearly indicate in the client file why the dwelling was given “deferral” status. A “walk-away/deferral” is not a completion. Reimbursement for “walk-away/deferral” shall be obtained through the normal monthly billing process. In the comments section of the WX710, Completed Dwelling Report, indicate that the dwelling is a “walk-away/deferral” and the client was advised of the conditions determining this status.

Each service provider must have available a system for a timely and fair administrative hearing of complaints received from clients denied services. An unreasonable delay in acting on an application for assistance will constitute grounds for a hearing.

At the time of application, the applicant is given a written notice outlining the applicant's rights and the method to file a complaint. All Community Action Agencies are required to adhere to their agency's grievance polices. If the grievance cannot be resolved through the service provider's process, the applicant will file a complaint with CAK. If this level cannot resolve the issue, the applicant will be informed that he can file a complaint with KHC.

Dwelling Needs Evaluation. Each dwelling that passes the walk-thru inspection shall receive a Dwelling Needs Evaluation (DNE) including a NEAT/MHEA or EA-QUIP audit and be determined as eligible in accordance with the following procedures and standards:

1. Identification of Living Area and Thermal Boundaries. The dwelling's living area and the thermal boundaries encompassing its living area shall be identified based on a client interview and on-site verification using the following definitions:

a. Conditioned Space. Any area within the dwelling where the air is intentionally thermally altered by the use of space heating or cooling equipment.

b. Unconditioned Space. Outside of the dwelling and any area within the dwelling that is not conditioned.

c. Thermal Boundaries. Building components of a dwelling that separate conditioned and unconditioned spaces.

d. Living Area. All of the conditioned space within a dwelling enclosed by the thermal boundaries.

2. Identification of Energy Systems. The dwelling's energy systems, as defined in the KY WX Program Manual will be identified based on a client interview and on-site verification.

3. Whole - House Approach to DNE. After the living area, its thermal boundaries, and the energy system have been identified, a DNE is performed following a step-by-step process described in the KY WX Program Manual. The DNE will be developed using a whole-house approach. The evaluator will consider the existing relationships and the potential relationships based on measures to be performed, between the dwelling energy systems, its air infiltration rate and locations of air leakage sites, the insulation within and on its thermal boundaries, its internal moisture producing and retention capacities and its overall ventilation needs.

4. Maximum Cost Limitation Standards. The regular Weatherization average cost per dwelling will not exceed $7,212 for *this* contract year, excluding health and safety measures. Health and safety average cost for materials and labor will have an average limited to 20% of the final average cost per unit, not exceeding a maximum of $2,500 per unit, without written approval from KHC.

The DNE will address, at a minimum, the following:

a. The living area be heated in a safe and healthful manner, that non-heating system combustion appliances within the living area operate in a safe and healthful manner, and that no leaks exist in any fuel lines from the meter or tank to an appliance in the dwelling.

b. Air infiltration through the thermal boundaries be reduced to at least the target CFM rate as identified in the dwelling.

c. The water heater and heating system ducts be insulated.

d. Ceilings that are thermal boundaries be insulated to a minimum R-38 where possible.

e. All attic areas be properly ventilated.

f. Walls that are thermal boundaries be insulated.

g. Thermal boundaries be insulated to a minimum; R-19 for floors, R-38 for attics, R-13 for 4" wall, and R-19 for 6" wall, where possible.

h. Solid foundations, including skirting, that enclose unconditioned spaces below a thermal boundary, be properly ventilated.

i. Baseload consumption be checked.

DNE Ineligibility Procedures. Should any dwelling be determined to be ineligible for health and safety measures or regular weatherization

measures due to DNE exceeding the maximum cost limitations, the evaluator will attempt to reduce the dwelling's living area through consultation with the client. If it is not possible to reduce the dwelling's living area, the evaluator will attempt to secure other resources to supplement weatherization funds.

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family :	NEAT audit approved March 9, 2015
Manufactured Housing :	MHEA audit approved March 9, 2015
Multi-Family :	EA-Quip audit conditionally approved March 9, 2015 - DOE approved software for buildings of 5 units or more

Comments

Kentucky received approval to use the NEAT/MHEA Audit for determining the most cost effective measures on all site-built dwellings March 9, 2015. All dwellings to be weatherized must have either a NEAT/MHEA audit or any other DOE approved audit software performed.

In addition to using the NEAT/MHEA audit or any other DOE approved audit software performed, each dwelling's energy system is inspected for health and safety and receives repairs as necessary. The evaluators have been equipped and trained to measure for heating unit efficiency in the dwelling evaluation process. These inspections and extent of repairs include all fuel lines, the primary heating unit, other combustible fuel appliances and all exhaust gas venting.

Recently, DOE also approved KHC to use LED light bulbs with the restrictions that LEDs will be Energy Star qualified or of equal or better quality and efficiency.

KHC reserves the right to require approval on any or all audits, prior to work being performed.

V.5.3 Final Inspection

Each dwelling unit will be reported as completed only after a service provider's (IREC accredited) Quality Control Inspector has performed a final inspection and certified that applicable work has been completed in a skillful manner, in accordance with the measure priorities determined by the audit procedures and in compliance with federal and state material specifications and installation guidelines. All tasks performed on client homes must meet the specifications, objectives and desired outcomes outlined in the Kentucky Weatherization Field Guide (September 9, 2014 Version) which references the Standard Work Specifications for Home Energy Upgrades (SWS) where applicable.

The service provider's (certified) Quality Control Inspector will perform a thorough and complete post inspection in accordance with all standards in KY's program. Whenever possible the QCI final inspection will not be performed by the same person who performed or installed weatherization measures or health and safety measures listed on the Work Order.

Each dwelling will receive energy systems safety tests and a blower door test. A back-drafting, worst case scenario, test will be performed on all vented combustion appliances.

This final inspection is documented and accomplished through the use of the "Completed Dwelling Report", (WX-710) and the QCI Inspection Form. The WX-710 is designed for service providers that use either staff work crews or private sector contractors. An appropriate service provider representative must fill out and sign the WX-710 before a dwelling can be reported as complete. The WX-710 requires the inspector to sign a statement certifying that all material installations complied with minimum standards and include job cost, blower door and client demographic information. Service providers are required to submit a copy of the Completed Dwelling Report (WX-710) for every unit reported as completed on the WX702. The QCI Inspection Form must be filled out and signed by the agency's certified QCI person and kept in the client file. (Note: See section V.8.3 for actions taken when QCI fails to perform properly.)

State monitoring QCI staff will use the same QCI Inspection Form and it will be saved in the agency's electronic file. These forms can be found on the KHC website's Weatherization page by following the instructions regarding the field guide and program manuals (below) and clicking on the Weatherization Forms line.

The Kentucky Weatherization Field Guide and NEAT/MHEA audit were fully approved on September 9, 2014. Hard copies were distributed to all agencies and CAK .The field guide and program guide are also located on the resource tab of the KHC website's Weatherization page here; http://www.kyhousing.org/Development/Single-Family/Pages/Weatherization-Assistance-Program-Resources.aspx All units utilizing this funding award will be inspected to ensure compliance with the SWS incorporated in the Kentucky Weatherization Field Guide as approved by DOE. Also acknowledged is the requirement to have all quality control inspections beginning with PY 2015 funding, including final inspections and monitoring inspections, conducted and signed off by a certified QCI.

We are willing to work with contract inspectors seeking QCI certification by reimbursing the cost of training and testing provided they are willing to sign a 24 month retention agreement to work in the program. There are QCI certified individuals listed who reside in contiguous state that are contracting their services as well. We are currently working to reach out to entities who are contiguous with Kentucky in order to explore possibilities of procuring QCI services in our state.

Currently we have three QCI certified monitoring staff. We realize the potential for turnover and the need for adhoc training. Our current training facility has been upgraded and supports a variety of WAP training needs. The ability to deliver accredited training in the, ANSI certified, Home Energy Professional curricula enhances our ability to maintain an adequate level of QCI persons serving the program.

V.6 Weatherization Analysis of Effectiveness

An electronic invoice is generated by each Weatherization Assistance Program service provider in our KY GREEN system based on monthly production and expenditures. The invoice includes information related to household demographics; material, labor and support expenditures; and number of completed dwellings on a monthly and cumulative basis. This information is then used to calculate average costs per dwelling for materials, labor, and support for an overall total cost average for each category. Invoices are reviewed monthly and the averages compared with similar service providers and to each service provider's planned production and expenditure goals.

When a service provider is identified during on-site monitoring or on monthly reports as exhibiting a pattern of poor work orders, poor work quality, or low production, a training and technical assistance visit is scheduled or a webinar is held, whichever is appropriate. The visit will focus on the specific problem and involve both desk review and field training. Follow up monitoring is performed by review of documented corrections, photo documentation or a repeat visit if necessary.

Implementing electronic audit reviews at invoicing have proved beneficial in various ways by helping bring consistency to audits statewide, increased understanding, and identification of training opportunities when audit users cannot perform.

Training efforts are not only focused on problematic areas but are also focused on keeping existing staff and new hires current with program updates. Turnover is an ever present problem and therefore the need for an ongoing training presence facilitates the need for both continuing education and entry level training. The new training center location has successfully presented training in the following categories: QCI, EA, Crew Leader, Retrofit Installer, Dwelling Needs Evaluator, *Infiltration and Duct Leakage*, CAZ & Zonal ~~and~~ Pressure Diagnostics, NEAT/MHEA and ASHRAE. The addition of a mobile home (housed inside a warehouse) has enabled real life, hands-on training under similar field conditions.

It is our strategy that a renewed focus and commitment to increasing our training quality will lead the way to an overall improvement and consistency in the quality of work delivered in KY. Two of our trainers have achieved proctor status in both field and written exams for all four Home Energy Professional designations. We also have one other KHC staff who has achieved written proctor status.

V.7 Health and Safety

Allowable energy related health and safety actions are those actions necessary to maintain the physical well being of both the occupants and/or weatherization workers where:

- Costs are reasonable as determined by DOE in accordance with this approved Master Plan;
- The actions must be taken to effectively perform weatherization; or
- The actions are necessary as a result of weatherization work.

The average DOE cost for abating health and safety hazards shall not exceed 20% of the final average of DOE and LIHEAP funded costs per unit. The current average is less than 20%. No single unit shall exceed $2,500 of health and safety cost, without written approval from KHC. Health and safety activities that are not direct components of an efficiency measure shall be charged as a health and safety cost.

Kentucky Weatherization (KY WX) addresses general Health and Safety (H&S) extensively in its Weatherization Program Manual (WXPM). The grantee, Kentucky Housing Corporation (KHC), oversees the content and updating of the WXPM as needed. The WXPM and the Kentucky Weatherization Field Guide (September 9, 1014 Version) function as the primary guidance for compliance for KHC sub-grantee(s) and their subcontractors. In this manner, a reliable source of H&S regulations is always available to the program operators, and a consistent system is in place that is readily understood by all participants. The Health and Safety (H&S) chapter outline all current and in progress health and safety procedures covering the specific health and safety issues, action/allowability, testing, client education and training requirements.

The weatherizing agency must determine presence of at-risk occupants before proceeding with evaluation services. The Health &Safety Client Application and Home Screening Questionnaire form must be reviewed and signed by the client at the time of application intake, and by the evaluator before the evaluation is started.

Crew and client H&S issues are viewed as closely linked in the areas of site conditions and work procedures. Working from this concept, which assumes that any hazard associated with a work site, whether it is a work practice, an existing condition, client behavior, and so forth, has the potential of harming both crew and client, a holistic approach towards H&S is taken throughout the entire process of weatherizing a home, with special emphasis given to the initial inspection. This is most clearly illustrated in the Health and Safety and Dwelling Needs Evaluation Chapters of the WXPM which, among other things, provides a step by step procedure for identifying H&S problems and the action steps that need to be taken to address them.

All of this is contingent on having well trained inspectors. KY WX has in place a certification process which ensures a knowledgeable, qualified individual is the first person on the job-site. Therefore H&S issues are revealed before any work is ever done. This goes a long way towards preventing any harm befalling either crew or client.

KY WX inspectors (or “evaluators”) must have passed or participated in training in the following areas:

- WX Policy and Procedure Training
- Dwelling Needs Evaluation Training
- Blower Door Usage
- NEAT/MHEA Audit Usage and Interpretation
- Energy Systems Training
- Lead Based Weatherization Safe Work Practices
- CPR/Basic First Aid
- Energy Related Mold and Moisture (includes Indoor Air Quality)
- Basic A/C and Heat Pump Inspection
- Asbestos Identification
- RRP Certified Renovator
- Other training courses determined to be necessary by KHC
- Kentucky Weatherization Program Field Guide
- BPI Quality Control Inspector (QCI) is required for any evaluator performing a final inspection.

Health & Safety Issues

As potential hazards are identified, they are analyzed in terms of their severity and how they will be dealt with, up to and including deferral. Wherever possible, measures should be considered through the cost justification method of an SIR>1 as an Energy Conservation Measure (ECM) first, before using funds from the H&S allocation. Clients must always be informed of any Health or Safety risk discovered during the evaluation process in writing and written confirmation of receipt of that information by the client must be obtained. using two forms. 1) Health & Safety Client and Home Screening Questionnaire 2) Client Education Checklist. Copies of these forms **(attached to SF 424)** must be kept in the client file. A listing of Health and Safety issues are compiled, any of which that can’t be corrected can result in a deferral on any given project. The intent is to defer in order to address problems too big for DOE funding and then allow clients to return to the program so a thorough and complete weatherization process is performed. Intentionally avoiding problem areas and performing partial weatherization is not allowed.

Air Conditioning and Heating Safety:

“Red tagged”, inoperable or nonexistent heating system replacement, repair, or installation is allowed where climate conditions warrant, unless prevented by other guidance herein. Kentucky climate involves a defined heating season with a Heating Degree Day (HDD) measurement range from 4200 to slightly over 5000. However the state also has a shorter but taxing cooling season. The Cooling Degree Day (CDD) measurements in Kentucky range from 1500 to slightly less than 1000 in the eastern most mountainous region. The vast majority of the state shares the same HDD measurements as northern parts of states such as South Carolina, Georgia, Alabama, Texas, Oklahoma and New Mexico.

Research indicates of all people who die of heat stroke, about 80 percent are age 50 or older. Deaths attributed to lung disease, diabetes and hypertension increase more than 50 percent during heat waves. Heat stroke occurs 12 to 13 times more frequently in people age 65 and older than in younger persons. It is also an

accepted medical fact that infants and children up to four years of age are very sensitive to the effects of high temperatures and rely on others to regulate their environment.

Considering preventable deaths may illuminate the need for allowing air conditioning measures. While there are no statistics devoted specifically to that category in Kentucky, the next two paragraphs are devoted to understanding the health risks in our state that relate to the statements above.

Each year in Kentucky there are 2,550 lung and bronchus related deaths. According to the Center for Disease Control (CDC), Kentucky: Burden of Chronic Diseases report, in 2005, 5% of Kentuckians died from stroke, and 1,187 people in Kentucky died from diabetes. In 2007, 10% of adults in Kentucky reported being diagnosed with non-pregnancy related diabetes.

While hypertension is the most prevalent cause of stroke and kidney failure, hypertension must be recognized as part of a bigger disease conglomerate almost always accompanied by obesity, diabetes, kidney disease or many other co-existing problems involving lifestyle and/or genetics. The same CDC report referenced above states that 30% of Kentucky adults have high blood pressure which puts us above the national average of 25%. The report goes on to state 39% of those surveyed had high blood cholesterol, which puts them at greater risk for developing heart disease and stroke.

Air conditioning is the number one protective factor against heat-related illness and death effecting people with health issues such as stated above. Therefore air conditioning system replacement, repair or installation is allowed to be categorized as health and safety in homes with occupants under four years old, over 65 years old and where there are at-risk occupants. Air conditioning system replacement, repair or installation must be attempted through cost justification as an ECM first before using H&S funding. Where this measure can be justified by the approved NEAT/MHEA or EA-Quip audit, replacement, repair or installation is not to be included in health and safety.

Persons requesting the need for air conditioning based on their health being at risk must provide a letter from a doctor defining the condition requiring an air conditioned environment and the maximum allowable air temperature relevant to that person's individual condition.

Repair of all combustible fuel line leaks from the meter or tank to the energy system or appliance. Materials must meet federal, state, and local code. Repair (only) of gas cooking appliances in order to eliminate gas leaks and reduce unsafe levels of carbon monoxide in living area. Repair materials must meet federal, state and local code. Installation of protective materials on combustible surfaces adjacent to energy systems to meet NFPA clearance codes is allowable. Materials and installation must meet NFPA specifications. Materials must meet federal, state and local code.

Energy systems are repaired or replaced, under H&S, when not operational or unsafe. This measure is taken in order to eliminate unsafe levels of carbon monoxide in the living area and to ensure adequate heating. Justification documentation in the form of the appropriate heat system checklist (per energy source) which includes all required diagnostic recordings for the individual unit, and photos demonstrating the specific issue(s) with the system must be in the client file. Replacement of operational units, where diagnostic readings are attainable, must be attempted to be cost justified as a ECM using regular weatherization funds with an SIR>1 before using H&S funds. A unit with a cracked heat exchanger where diagnostic readings are attainable must be attempted to be replaced through cost justification as an ECM first before using H&S funding. Replacement of non-operational units can only be from H&S funding.

The weatherizing agency must determine presence of at-risk occupants while also ensuring systems are present, operable and performing. Agencies must discuss and provide clients with information on the appropriate use and maintenance of units, with explanation, from the subgrantee. This information must also cover the proper disposal of bulk fuel tanks when not removed (where applicable).

Appliances and Water Heaters :

Replacement of water heaters under H&S is allowed on a case by case basis under the conditions outlined in the WXPM, Chapter 6, Section 6.6. Discuss and provide information and explanation on appropriate use, maintenance, and disposal of appliance/water heaters (where applicable).

Replacement and installation of appliances other than water heaters, such as stoves or washing machines, are not allowable H&S costs.

Asbestos:

Asbestos anywhere on the interior of the dwelling that would need to be addressed either directly or incidentally during the weatherization process is not an allowable H&S cost. Additionally, asbestos testing or abatement is not an allowable H&S cost. Policies have been in effect for asbestos presence and related work practices for many years. The approach is not to disturb, cut or drill said material and deter those measures that might do so. In instances where measures can be installed without disturbing asbestos surfaces or materials, that is the best approach. In instances where a local authority such as Code Enforcement imposes specific guidelines or requirements, service provider program staffs are to make themselves aware of those restrictions and comply with them.

In addition to this existing asbestos policy KHC acknowledges that removal of siding can potentially cause a health hazard. Therefore no handling and or altering of asbestos materials is allowed. It is mandatory that all dwelling needs evaluators, crew leaders and weatherization workers attend a course that is specifically targeted to educating these professionals on how to identify asbestos containing materials and work around them without creating a hazard. This course is presented via webinar, or web posting, by KHC Training Staff.

If it is determined that weatherization work cannot be performed without creating a hazard the project is to be deferred. The client is to be informed in writing of the potential hazard and the agency must not return to weatherize until an AHERA certified professional issues a clearance statement. A copy of this statement/report must be kept in the client file.

Prior to drilling or cutting an exterior wall and subsurface must be inspected for asbestos.

When vermiculite is present, unless testing determines otherwise, the unit is to be deferred. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization. Encapsulation by an appropriately trained professional is allowed. However asbestos encapsulation and testing cost are not reimbursable by the KY WAP. Removal is not allowed.

With regard to pipes, furnaces and other small covered surfaces, assume asbestos is present in the covering materials. Encapsulation is allowed by an AHERA asbestos control professional and should be conducted prior to blower door testing. Asbestos encapsulation and testing are not reimbursable cost within the Kentucky WAP.

Clients must be informed that suspected asbestos is present and how precautions will be taken. Clients will be instructed not to disturb suspected asbestos containing material. Clients must be provided information and explanation on asbestos safety information and steps to correct deferral conditions (where applicable). The clients are required to sign a form, provided by the weatherizing agency, indicating they have been informed (where applicable).

Biologicals and Unsanitary Conditions – odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc. :

A sensory inspection is required. Clients must be informed of observed conditions. Clients must be provided information and explanation on how to maintain a sanitary home and steps to correct deferral conditions (where applicable).

Remediation of conditions that may lead to or promote biological concerns and unsanitary viruses is not an allowable cost. Addressing bacteria and viruses is not allowed. Cleaning or repairing biological and unsanitary conditions to perform weatherization is not allowed. Deferral may be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers. Also see Mold and Moisture bullet below.

Building Structure and Roofing:

·Site conditions identified and documented by the service provider that pose a safety hazard to its employees and subcontractors and cannot be corrected within the scope of the program.

·Building Structure – Structural problems with candidate dwellings can often lead to deferral because their scope is beyond the means of the program to treat. Beyond simple incidental repairs, such as roof patching, there is no feasible means to address severe structural defects.

·During the pre-inspection or initial inspection of the dwelling, the evaluator must have access to all aspects of the structure in order to adequately and appropriately gather data for the NEAT or MHEA energy audit. Clothing, dogs, trash or other impediments restricting access to any portion or portions of the dwelling that block necessary access may constitute a deferral.

Building rehabilitation is beyond the scope of the WAP. H&S funds should not be used when the repair is a component of an ECM. In that case, the repair should be cost justified as an incidental repair. Clients must be notified of structurally comprised areas (where applicable).

Code Compliance:

Correction of preexisting code compliance issues is not an allowable cost other than where they are triggered by performing weatherization measures. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures. Condemned properties and properties where “red tagged” health and safety conditions exist that cannot be corrected under this guidance should be deferred.

Clients must be notified of observed code compliance issues (where applicable). H&S funds should not be used when the repair is a component of an ECM, such as fixing a light fixture in order to install a CRL bulb. In this case the cost should be cost justified as an incidental repair.

KHC will begin a general code awareness training utilizing its construction specialist staff to provide residential code training to the network evaluators. This will be incorporated into the refresher courses.

Combustion Gases:

Proper venting to the outside for combustion appliances, including gas dryers is required. Correction of venting is allowed when testing indicates a problem. The following inspection and testing is required per the WXPM in Chapter 6 and Chapter 8 step 2, and KHC Program Notice 06-2010.Combustion safety testing is required when combustion appliances are present.

Correction of venting issues shall be completed and should be done as an incidental repair when it is a component of an ECM. Proper venting to the outside for combustion appliances, including gas dryers is required. Combustion safety testing is required when combustion appliances are present. Inspections must include:

- Inspections of venting of combustion appliance and confirmation of adequate clearances to combustibles.

- Testing natural draft appliances for draft and spillage under worse case conditions before and after air sealing. Inspection of cooking burners for operability and flame quality.

- Replacement of Cook stoves is not allowed. Repair is an allowable H&S cost.

Clients must be provided information and explanation of combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

Drainage – gutters, down spouts, extensions, flashing, sump pumps, landscapes, etc.:

Drainage repairs are allowed with H&S funds only as they relate to code compliance. A repair is allowed as incidental repair when it is a component of an efficiency measure, such as a French drain when installing an air conditioning system, but must be cost justified with the ECM(s).

Major drainage issues (≥$500) are beyond the scope of the Weatherization Assistance Program. Homes with conditions that may create a serious health concern that require more than incidental repair should be deferred. See Mold and Moisture bullet below.

Clients must be provided information and explanation of the importance of cleaning and maintaining drainage systems, as well as the benefits of landscape design (where applicable).

Electrical, other than Knob-and Tube Wiring:

Minor electrical repairs (≤$300) are allowed where health and safety of the occupants is at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures such as relocating an electrical outlet to allow for a dryer to be relocated for proper ventilation or proper connection of an existing water heater. A visual inspection must occur and all inspecting and testing is to be as described in the WXPM.

Clients must be provided information and explanation on the hazards of overloading circuits, basic electrical safety/risks and over current protection (where applicable). H&S funds should not be used when the repair is a component of an ECM such as a service upgrade to handle increased load of a new heat system.

Electrical, Knob-and Tube Wiring:

Minor electrical repairs (≤$300) are allowed where health and safety of the occupants is at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures. A visual inspection must occur and all inspecting and testing is to be as described in the WXPM.

Knob-and Tube wiring shall not be covered or encapsulated with insulation in Kentucky. The removal and replacement of knob and tube is allowed as an incidental repair to an ECM such as installing insulation.

Discuss and provide information and explanation to the client on the hazards of overloading circuits, basic electrical safety/risks and over current protection (where applicable).

Fire Hazards:

Current inspection criteria take into account fire hazards associated with combustion appliances including clearances and venting systems. Through fuel specific checklists, inspectors identify such hazards and make repairs accordingly with respect to budgetary and program limitations. Required adherence to appropriate NFPA codes when repairing or replacing equipment also minimizes the potential for fire hazards.

Correction of fire hazards is allowed when necessary to safely perform weatherization. Home evaluations include checking for fire hazards during the audit. Clients must be informed of observed hazards even if they will not be treated during weatherization.

Formaldehyde, Volatile Organic Compounds (VOCs) and other Air Pollutants :

Formaldehyde and Volatile Organic Compounds (VOCs) – Formaldehyde, tobacco smoke, thinners, solvents, cleaners, and any other substances capable of negatively impacting indoor air quality are identified through the On-site inspection process. Basic strategies such as proper storage and ventilation are used to eliminate problems. Air sealing thresholds are maintained so that the presence of these pollutants are not concentrated and allowed to reach toxic amounts. However, this is primarily an occupant responsibility. In some cases, deferral may be an option.

Removal of pollutants is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred. Removal of pollutants that is not necessary to perform weatherization (e.g. cleaning old paint cans and oil out of the garages) is not allowed.

Clients must be informed of observed conditions and associated risks. Client must be given written information and explanation on safety and proper disposal of household pollutants (where applicable).

Injury Prevention of Occupants and Weatherization Workers – Measures such as repairing stairs and replacing handrails:

Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Minor repairs (≤$300) and installation may be conducted only when necessary to effectively weatherize the home; otherwise these measures are not allowed.

Workers are to observe if dangers are present that would prevent weatherization. Clients must be informed by evaluators and/or workers of observed hazards and

associated risks (where applicable)

Lead Based Paint :

Presence of lead based paint associated with dwellings built before 1978. State policy mandates that all personnel working directly on dwellings shall participate in an eight (8) hour Lead Workers Safety class. Moreover, the presence of lead is an inspection issue and current procedures are designed to identify the presence of lead on Work Orders and work safely in those situations. (See Lead Safe Weatherization Work Practices; in the WXPM.)

With respect to Lead Based Paint issues, KY WX uses an approach that addresses client safety and awareness, worker safety and awareness, and on-site practices.

The head of household of every home to be weatherized receives the informational pamphlet: "Renovating Right". The inspector also conducts a client education segment as part of the initial inspection to assure that the occupants are fully aware of the hazards posed by Lead Based Paint exposure. This procedure is documented by using a signed receipt from the head of household which confirms that the information was not only distributed, but also explained. This receipt is kept in the client file. All lead safe work practice documentation must be kept in the client file. Photo documentation is mandatory. This includes photo documentation of lead safe work areas, including any required containment set up and must be kept in the electronic or hard copy client file.

All workers on site on any Weatherization project, whether they be a crew based employee of one of the subcontractors or a private sector contractor, must complete an eight (8) hour Lead Safe Worker Practices Workshop. The aim of this course is to inform the worker about Lead hazards and the proper ways to deal with them, and in doing so, to work in such a way as to not expose client families (and their own families) to these hazards. All crews and contractors are required to carry HEPA vacuum machines, respirators, disposable bio suits, and all other items associated with safe Lead Work Practices.

The program manual addresses this area specifically with detailed guidance for onsite protocols:

·Wear a tight fitting respirator and disposable coveralls.

·Seal work areas within a home with tape and plastic. Cover furniture, carpet, and other surfaces with plastic drop cloths or tarps.

·Spray water on disturbed areas to minimize dust.

·Clean-up work area each day. Sweep carefully and wet mop as needed. Use a HEPA vacuum cleaner to collect dust and paint chips.

·Keep children away from work area at all times.

While this represents only a summary of the overall Lead Safe Practices and training, it illustrates KY WX's awareness of the issue and how it is integral to any weatherization project.

Lead Safe Weatherization work practices occur only due to health and safety concerns. It cannot be considered part of an efficiency measure and shall always be calculated and charged as a health and safety cost.

KHC's monitoring staff will have oversight responsibility in this area. While Lead Safe Work Practices have long been built into the program, the monitors will focus more directly on this area as they conduct their bi-annual and annual monitoring visits. Program operators will be required to show that all Lead Based Paint protocols: information sharing, Lead safe work Practices, proper equipment, and so forth are up to date and in compliance to all regulations whatever they turn out to be. Those programs that are not in compliance, and fail to comply once identified, will face the most serious sanctions that can be leveled: reduced allocation to start with, loss of contract if necessary. Special attention will be aimed at those programs failing to meet requirements in the area of Lead Safe Work Practices since it poses such tangible consequences for the households that are served.

Subgrantees must follow EPA’s lead; Renovation, Repair and Painting (RRP). In addition to RRP, Weatherization requires all weatherization crews working in pre-1978 housing to be trained in Lead Safe Weatherization (LSW). Deferral is required when the extent and condition of lead-based paint in the house would potentially create further health and safety hazards.

All sub grantees and private sector contractors must have Lead Renovator Firm status. All evaluators (inspectors) must have Lead Renovator (RRP) certification as well as all crew leaders. This is a requirement for contracting with the program. This applies to contractors performing and/or managing the following activities: weatherization related work, inspection services, energy auditing services, dwelling needs evaluation or like services. Private contractors must also meet the requirement of having adequate RRP certified employees among their ranks. As new contractors apply to work on WX projects the EPA requirements are explained during the application process.

Private contractors will be required to furnish proof of RRP and Lead Renovator Firm status as a condition of working for the WX program. The monitoring staff will routinely check that documentation is on file at each agency verifying compliance to the EPA rules.

All weatherization crews working on pre-1978 homes must receive the 8 hour LSW training and a certified renovator must be assigned to the project and be readily available.

State Monitor/Trainers must be Certified Renovators and receive the 8 hour LSW training.

The head of household of every home to be weatherized receives the informational pamphlet: "Renovating Right". The inspector also conducts a client education segment as part of the initial inspection to assure that the occupants are fully aware of the hazards posed by Lead Based Paint exposure.

The RRP requirements of client education apply. The agencies must give the client a copy of the EPA publication: July 2011 Edition of: ***The Lead-Safe Certified Guide to Renovate Right Pamphlet*** and have the client sign the Sample Pre-Renovation Form located in the back of the Pamphlet to certify the client has been given the pamphlet.

That signed form must be kept in the client's file to show proof the client has received educational material about the dangers of lead paint.

The certified renovator must be physically present at the work site while signs are being posted, containment is being established, and the work area is being cleaned after the renovation to ensure that these tasks are performed correctly. Although the certified renovator is not required to be on-site at all times, while the renovation project is ongoing, a certified renovator must nonetheless regularly direct the work being performed by other workers to ensure that the work practices are being followed. When a certified renovator is not physically present at the work site, the workers must be able to contact the renovator immediately by telephone or other mechanism. In addition, the certified renovator must perform the post-renovation cleaning verification.

Mold and Moisture:

Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating conditions are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability or the measures. Where sever Mold and Moisture issues cannot be addressed, deferral is required.

The Kentucky Weatherization program is not a mold remediation program and funds should not be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the audit, the work performance period or the quality control inspection. Most typically, weatherization services may need to be delayed. All local agencies must include some form of notification or disclaimer to the client upon the discovery of a mold condition and what was specifically that was done to the home that is expected to alleviate the condition and/or that the work performed should not promote new mold growth.

Major (≥$500) moisture problems that cannot be corrected within the scope of the program such as:

·An enclosed crawlspace or basement that has standing water for significant periods of time due to inadequate ground or surface water drainage.

·Any building with no overhangs and no gutters, exhibiting signs of major (≥$500) moisture problems such as blistering paint and extensive mold/mildew on the inside of the house.

The clients must be provided with a disclaimer on mold and moisture awareness.

Occupant Preexisting or Potential Health Conditions:

A feature of any inspection includes client education, whereby the occupant's health problems are addressed. Once a clear understanding has been reached between the program inspector and the occupant, work practices will be deployed so as not to aggravate any preexisting condition. In some rare instances, a deferral may be the only solution.

When a person's health may be at risk and/or the work activities could constitute a health of safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Temporary relocation of at-risk occupants may be allowed on a case by case basis. Failure or the inability to take appropriate actions must result in deferral.

Occupants will be required to reveal known or suspected health concerns as part of initial application for weatherization. The occupants of the dwelling will be screened again during the audit. The client must be provided with information of known risks. It will also require that worker contact information (in the form of agency weatherization office staff phone numbers) be given to the client so client can inform of any issues.

the weatherizing agency must determine the presence of at-rick occupants before proceeding with evaluation services. The Health & Safety Client Application and Home Screening Questionnaire form must be reviewed and signed by the client at the time of application intake and by the evaluator before the evaluation is started.

Occupational Safety and Health Administration (OSHA) and Crew Safety:

Workers must follow OSHA standards and OSHA HazCom 2012 and take precautions to ensure the health and safety of themselves and other workers. For more information, please reference the OSHA website at: https://www.osha.gov/dsg/hazcom/index.html

Employers that have hazardous chemicals in their workplaces are required by OSHA's Hazard Communication Standard (HCS), 29 CFR 1910.1200, to implement a hazard communication program. The program must include labels on containers of hazardous chemicals, safety data sheets (SDSs) for hazardous chemicals, and training for workers. Each employer must also describe in a written program how it will meet the requirements of the HCS in each of these areas.

Field monitoring performs unit file review for evidence of safe work practices. Field monitoring of in progress units will perform assessments to determine if crews are utilizing safe work practices.

The Kentucky Weatherization Program no longer requires the completion of either the OSHA-10 or the OSHA-30 training courses. This does not eliminate the need for sub grantees to be in compliance with OSHA standards. OSHA still requires that all workers receive training to address specific hazards that the worker can reasonably expect to encounter on a particular job site such as (but not limited to) fall protection, use of personal protective equipment, electrocution and the safe operation of power tools. KHC strongly recommends OSHA training for all workers as a best practice.

This training can be obtained in various ways. The following are suggested resources.

Online Training. OSHA has accepted the below sites for online outreach training. We suggest that you sample them before choosing.

Construction 10 hour

1. AdvanceOnline
2. ClickSafety (also Roadway, Cal-OSHA, and Spanish)
3. Summit Training Source (also Spanish version)
4. PureSafety (also Spanish version)
5. Career Safe - (Youth and Corporate versions)
6. Redvector
7. 360Training
8. University of South Florida
9. Coastal Training Technologies
10. Turner Construction

Construction 30 hour

1. Turner Construction (also Spanish version)
2. ClickSafety
3. 360Training
4. Summit Training Source
5. University of South Florida
6. PureSafety
7. AdvanceOnline

Information on obtaining OSHA outreach classes in construction

To find in-person training conducted by an authorized OSHA Outreach Trainer:

a. See www.OutreachTrainers.org to find outreach trainers and/or their schedules

b. We can send you lists of active trainers in your state – e-mail us if you want this list. Use the lists to contact trainers for information on their training plans.

c. OSHA Education Center in your area may offer it - www.osha.gov/dte/edcenters/map.html

d. The OSHA Consultation office in your area may offer it, see

www.osha.gov/dcsp/smallbusiness/consult_directory.html

Pest:

Pest infestation, within the dwelling or in any area outside of the dwelling, where service provider staff or subcontractors would have to work is cause for deferral. (Pests include, but are not limited to: fleas, roaches, rodents).

Clients must be informed of observed condition and associated risks.

Radon:

Whenever site conditions permit, exposed dirt must be covered with a vapor barrier except for mobile homes without skirting or an exterior under surface that serves as a vapor barrier. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issues worse. In extreme cases deferral may be an option.

Radon testing or remediation is not an allowable H&S cost. Clients must be provided with the EPA consumer's guide to radon.

Refrigerant:

Refrigerators are allowed to be replace and an ECM only. All reclaimed refrigerant processes must follow the Clean Air Act 1990, section 608, as amended by 40 CFR82, 5/14/93. All EPA testing protocols must apply to any testing. Clients are to be advised not to disturb refrigerant. Anyone working with refrigerant, within or employed by the WAP, must have the appropriate training, either an EPA-approved section 608 type I or universal certification. Any appliance disposal must include refrigerant reclamation.

Non-certified technicians may not attach or disconnect hoses of gauges to measure pressure within the appliances, top-off or remove refrigerant from appliances or otherwise damage the integrity of the appliance.

Smoke, Carbon Monoxide Alarms, and Fire Extinguishers:

1. Weatherization agencies must install carbon monoxide (CO) alarms and smoke alarms in dwelling units where these devices are nonexistent or non-functioning.

2. CO alarms must be, UL listed, installed in accordance with the manufacturer's recommendations and located in compliance with the SWFG Section 1.1.2. Installed CO alarms must have the capability to accurately detect and display low levels of carbon monoxide to 10 ppm and comply with other program requirements. Electric plug-in CO alarms must have battery backup.

Local agencies must provide the occupant(s) of the dwelling unit with verbal and written information regarding the following:

a. Dangers of CO and smoke.

b. How to operate and reset the CO and smoke alarms.

c. How to read the CO alarm.

d. How to respond to CO levels above 10 ppm.

e. How to change the batteries of CO and smoke alarms.

3. Smoke alarms must be, installed in accordance with the manufacturer's recommendations, listed in accordance with UL 217, comply with NFPA 72 and other program requirements.

4. Where multiple smoke alarms are required interconnection is required. Actuation of any one smoke alarm shall activate all of the alarms in the individual unit. Hard wiring and interconnection is not required in existing areas provided:

a) the alteration or repair does not cause the removal of wall or ceiling finishes exposing the structure, and

b) no attic, crawl or basement is available which can provide access for hard wiring and interconnection without the removal of interior finishes.

5) Smoke alarms/detectors must be located:

1) In every sleeping room.

2) Outside of each sleeping area in the immediate vicinity of the bedrooms.

3) On each additional story (including basements).

4) In split level dwellings where an intervening door is located between the adjacent levels. However in split level dwellings without an intervening door a smoke alarm installed on the upper level shall suffice for the adjacent lower level provided that the lower level is less than one full story below the upper level.

5) Near every combustion zone. This alarm can serve the requirements of numbers 3, 4 and 5 where feasible.

6) Providing fire extinguishers is allowed only when solid fuel is present. Fire extinguishers must be installed, according to the manufactures recommendations, be type ABC, UL listed, = 10 lb and with a permanently affixed wall bracket to receive the extinguisher. The client must sign a written agreement to allow a fire extinguisher to be installed in the home within sight of the solid fuel burning heat system when standing at the unit. The agency must discuss and provide information on the use and upkeep of the extinguisher to the client.

Solid Fuel Heating (Wood Stoves, etc):

The weatherization agency must inspect the stove, chimney and flue. Combustion zone depressurization (CAZ) is required per the Southeast Weatherization Field Guide and the WXPM section 8.5, step 2 item 15.

Maintenance, repair, and replacement of primary indoor heating units is allowed where occupant health and safety is a concern. Maintenance and repair of secondary heating units is allowed. Replacement of secondary heating units is not allowed. This system must be operational and inspected using all WXPM test protocols before any other weatherization begins.

Stand Alone Electric Heaters:

Defined as, but not limited to, heaters that do not have a permanent connection to electric power. Repair, replacement or installation is not allowed. Removal is recommended. Circuitry must be checked to ensure adequate power supply for existing space heaters.

Clients must be informed of the hazards associated with these types of heaters and the weatherization agency must collect a signed waiver from the client if removal is not allowed.

These heaters are not considered a primary heat source.

Space Heaters, Unvented Combustion:

Unvented combustion space heaters are not considered a primary heat source. Removal is required, except as secondary heat source and where the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization but may remain until a replacement heating system is in place. Testing for air-free carbon monoxide (CO) is to be performed per the WXPM. All units must have an ANSI Z21.11.1 label.

The client must be informed of the dangers of unvented space heaters – CO, Moisture, NO2, CO can be dangerous even if CO alarm does not sound. The replacement system must be operational and inspected using all WXPM test protocols before any other weatherization begins

Space Heaters, Vented Combustion:

These units will be treated as furnaces. The WXPM details the testing required during an evaluation. The replacement system must be operational and inspected using all WXPM test protocols before any other weatherization begins.

Spray Polyurethane Foam (SPF):

Use EPA recommendations (available online at http:www.epa.gov/dfe/pubs/projects/spf/spray_polyurethane_foam.html) when working within the conditioned space of when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home. Testing will include checking for penetrations in the building envelope. Sensory inspection inside the home for fumes during foam application must also occur.

The client must be informed of plans to use two-part foam and the precautions that may be necessary. Workers using foam products must receive training on the proper use of these various products and understand the specification for each application type. Documentation of installers viewing an installation video or online training and verification of reading and understanding product use information must be kept at the service provider agency. MSDS sheets are mandatory for any foam product used and a thorough understanding of the temperature sensitivity of the product in use is required.

Ventilation:

The most current version of ASHREA 62.2, and the approved Addendum b, is required to be met to the fullest extent possible, when performing weatherization activity Implementing ASHREA 62.2 is not required where acceptable indoor air quality already exists as defined by ASHREA 62.2. Existing fans and blower systems should be updated if not adequate. Evaluation and test out measures must comply with the WXPM.

Discuss and provide information to the client on function, use, and maintenance of ventilation system and components as applicable. Also a disclaimer that ASHREA 62.2 does not account for high polluting sources or guarantee indoor air quality must be given to the client.

Training of evaluators and crew leaders has been provided by KHC. This training included proper sizing, evaluation of existing and new systems, depressurization tightness limits, critical air zones, etc.

Window and Door Replacement, Window Guards:

Replacement, Repair, or installation is not an allowable H&S cost but may be allowed as an ECM if cost justified. If disturbing lead paint, follow LSW practices and the client must be informed on lead risks as indicated in the WXPM and this H&S plan when applicable. Replacement, repair or installation of doors, windows, or window guards is not an allowable H&S cost.

Deferrals:

Deferrals, or "walkaways" as they are commonly known, are processed accordingly:

a. The client shall be informed in writing as to why the dwelling cannot be weatherized. Deferral letters must include the client's name and address, dates of the audit/assessment and when the client was informed of a potential health and safety issue, a clear description of the problem, a statement indicating if, or when conditions under which weatherization could continue and the responsibility of all parties involved. This letter must also inform the client of their rights and options.

b. The service provider is required to refer the client to any alternate program such as home rehab, if one is available in the area.

c. The service provider shall clearly indicate in the client file why the dwelling was given "deferral" status.

d. The service provider must document all referrals to other programs or services in the client file.

e. The client will receive any information prescribed in this Health and Safety section.

Client Education:

The WXPM defines the proper time and method to disclose and distribute information on all aspects of the evaluation discovery process. Clients must always be informed of any Health or Safety risk discovered during the evaluation process in writing and written confirmation of receipt of that information by the client must be obtained using two forms. 1) Health & Safety Client and Home Screening Questionnaire 2) Client Education Checklist. Copies of these forms must be kept in the client file. A signed copy by the head of household/applicant which confirms that the information was not only distributed, but also explained. A copy must be kept in the client file. Use of these forms is mandatory.

Budgeting (Check one): The grantee is encouraged to budget health and safety costs as a separate category and, thereby, excludes such costs from the average per-unit cost calculation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. The grantee is reminded that, if health and safety costs are budgeted and reported under the program operations category rather than the health and safety category, the related health and safety costs must be included in the calculation of the average cost per home and cost-justified through the audit.
Separate Health & Safety Budget **Yes**
Contained in Program Operations _____No_____

Incidental Repairs (List repairs, if any, that will be removed as health and safety measures and implemented as incidental repairs.): If the grantee chooses to identify any health and safety measures as incidental repairs, they must be implemented as such under the grantee's weatherization program in all cases – meaning, they can never be applied to the health and safety budget category. In order to be considered incidental repairs, the measure must fit the following definition and be cost justified along with the associated efficiency measure. Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program.
Concur. Incidental Repair id defined within the plan.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007921, State: KY, Program Year: 2017)

Health and Safety Expenditure Limits (Provide a per-unit average percentage and justification relative to the amount. Low percentages should include a statement of what other funding is being used to support health and safety costs, while larger percentages will require greater justification and relevant historical support.):

The grantee must set health and safety expenditure limits for their subgrantees, providing justification by explaining the basis for setting these limits and providing related historical experience. It is possible that these limits may vary depending upon conditions found in different geographical areas. These limits must be expressed as a percentage of the average cost per dwelling unit. For example, if the average cost per dwelling is $5000, then an expenditure of $500 per dwelling would equal 10 percent expenditures for health and safety. 10 percent is not a limit on H&S expenditures but exceeding this amount will require ample justification. These funds are to be expended by subgrantees in direct weatherization activities. While required as a percentage of the average unit cost, if budgeted separately, the health and safety costs are not calculated into the per-house limitation.

Per-Unit Average Percent: 20%

Deferral Policy (Provide a detailed narrative of the grantees overall deferral policy):

Deferral may be necessary if health and safety issues cannot be adequately addressed according to WPN 11-6 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. In the judgment of the auditor, any conditions that exist, which may endanger the health and/or safety of the workers or occupants, should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. The grantee should be specific in their approach and provide the process for clients to be notified in writing of the deferral and what corrective actions are necessary for weatherization to continue. The grantee should also provide a process for the client to appeal to a higher level in the organization.

Concur. Specific policy, procedures and documents have been in existence and are defined in the plan.

Procedure for Identifying Occupant Health Concerns:

Procedures must be developed and explained on how information is solicited from clients to reveal known or suspected occupant health concerns as part of the initial application for weatherization, additional screening of occupants again during the audit, and what steps will be taken to ensure that weatherization work will not worsen the health concern.

Concur. Specific policy, procedures and documents have been in existence and are defined in the plan.

Documentation Form(s) have been developed (Check Yes or No):

Documentation forms must be developed, include the client's name and address, dates of the audit/assessment and when the client was informed of a potential health and safety issue, a clear description of the problem, a statement indicating if, or when weatherization could continue, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options

Yes _____X_____

No _____

Completing the General Issue Tables below, or something similar, for each health and safety category will help explain to DOE how the WPN 11-6 requirements will be addressed.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the

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grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 __X__ Alterative Guidance _____	

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Air Conditioning Installation (as specific to installation as a health and safety measure): Provide a narrative on implementation protocols of air conditioning repair, replacement, and installation including justification for allowability that includes climate justification with degree days and how to define at-risk occupants

Heating System Installation (as specific to installation as a health and safety measure): Provide a narrative on implementation protocols of Heating System repair, replacement, and installation including justification for allowability that includes climate justification with degree days

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 __X___ Alterative Guidance _____	

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Concurrence with WPN11-6 _____ Alterative Guidance ___X___	Kentucky does not allow handling or altering of asbestos containing materials. Asbestos related activities are not an allowable H&S cost. Appropriate asbestos identification and awareness training is part of the plan.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Combustion Gas Problem Discovery: Provide a narrative describing the process to be followed when combustion gas testing reveals health and safety concerns.

[redacted]

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative

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Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

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Concurrence with WPN11-6 ___X___ Alterative Guidance _____	Exception: Removal is primarily an occupant responsibility.

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Lead Based Paint Compliance: Provide a narrative describing how RRP and LSW implementation will be conducted and how the grantee will verify compliance. The explanation should clearly show an understanding that LSW and RRP are separate requirements and both are required to be met.

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Mold Protocols: Provide a narrative describing protocols for addressing mold found in the client's homes. The protocol should include a method of identifying the presence of mold during the initial audit or assessment, notification to the client, and crew training on how to alleviate mold and moisture conditions in homes.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 ___X___ Alterative Guidance _____	

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

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(Grant Number: EE0007921, State: KY, Program Year: 2017)

[redacted]

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 __X___ Alterative Guidance _____	

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

N/A

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

N/A

Standards for Deferral: Describe when deferral should take place for the specific health and safety category.

N/A

Standards for Referral: Describe when referral should take place for the specific health and safety category. If possible, include associated referral agencies.

N/A

Training Provision: Discuss how training will be provided for the specific health and safety category. **Note:** Some health and safety categories, like OSHA, require training.

N/A

Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

N/A

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

N/A

OSHA and MSDS Compliance: Provide a narrative describing procedures for implementation of OSHA and MSDS requirements related to crew and worker safety, how the 10 and 30 hour training requirements will be met, and what the process is for determining if crews are utilizing good safe work practices according to all requirements (EPA, OSHA, etc.).

[redacted]

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 _____ Alterative Guidance ___X___	Removal is not an allowable H&S cost. Infestation is cause for deferral.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

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Concurrence with WPN11-6 __X___ Alterative Guidance _____	Exception: Radon testing or remediation is not an allowable H&S cost.

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.

Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

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Concurrence with WPN11-6 ___X___ Alterative Guidance _____	

Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.

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Concurrence with WPN11-6 ___X___   Alterative Guidance _____   Exception: Providing fire extinguishers is not an allowable H&S Cost.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
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Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.
Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.
Smoke/CO Detector Installation: Provide a narrative describing smoke/CO Detector installation parameters and procedures.

Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.
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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

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Client Education: Discuss what specific steps will be taken to educate the client, if any, on the specific health and safety category if this is not explained elsewhere in the State Plan**.** **Note:** Some health and safety categories, like mold and moisture, require client education.

Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

ASHRAE 62.2 Compliance: Provide a narrative describing implementation of ASHRAE 62.2, which will be required during the 2012 program year. Grantees must provide justification if making changes to AHRAE 62.2 specific to their housing stock and local considerations.

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Concurrence or Alteration: Check if you concur with existing guidance from WPN 11-6 or if you are using an alternative Action/Allowability. Include the guidance from WPN 11-6 or alternative guidance in the space provided. Alternatives must be explained and comply with DOE guidance. **Note:** Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 11-6, the grantee must concur or choose to defer all units where the specific issue is encountered. Allowable items under WPN 11-6 leave room for determining if the issue or testing will be addressed and in what circumstances.

Concurrence with WPN11-6 ___X___ Alterative Guidance _____	

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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

Health and Safety Issue: Describe the health and safety category below. Methods for addressing additional energy related health and safety issues must be consistent with DOE guidance.
Funding: State that DOE funds are being used or indicate that alternate funding sources will be used to address this particular health and safety category.
Beyond Scope of DOE WAP: Describe how the issue will be treated if beyond the scope of DOE WAP.
Standards for Remedy: Describe the standards for remedy of the health and safety category, including testing protocols. Also include when partial weatherization would be appropriate. **Note:** Some health and safety categories, like combustion gases, require testing.
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Disposal Procedures: Provide disposal procedures or indicate where these procedures can be found in the Plan or Field Standards.

V.8 Program Management

V.8.1 Overview and Organization

The Weatherization Assistance Program will be administered by Kentucky Housing Corporation (KHC). KHC is a quasi-state agency acting as the state housing finance agency. KHC is administratively attached to state government under the finance cabinet but receives no operations funding from the state budget.

While KHC has been administering federal housing programs since their creation in 1972, the administration of DOE and LIHEAP funded weatherization programs was brought to KHC in 2009. KHC does not administer any of the LIHEAP heating assistance funding. Our state energy programs are conducted from Kentucky's Energy and Environment Cabinet.

The weatherization program is administered at KHC out of two departments. The technical aspects (training and technical monitoring) are undertaken by the Design and Construction department which maintains staff QCI certified building specialists. The program administration (contract monitoring, financial management, reporting) is conducted in the Housing Contract Administration (HCA) department. HCA administers 14 different funding streams (most of them federal) with support from an Internal Audit department and Legal staff.

KHC will enter into a funding agreement with Community Action Kentucky (CAK) and the identified sub-recipients (CAAs). Funding agreements will spell out the responsibilities of all parties related to the administration of the weatherization assistance program. Program manuals spelling out administrative policies, technical specifications and financial management procedures will also be provided to the sub-recipients to assist them with proper implementation of their program.

V.8.2 Administrative Expenditure Limits

The Grantee will retain no more than 5% of available funds for administrative purposes, of which a portion will be made available to Community Action Kentucky (CAK) for their administrative assistance. The service providers will receive 5% administrative funds.

At the decision of KHC, an additional 5% may be allocated to service providers if the following conditions are met:

1. The service provider is not administering the program under any sanctions or a corrective action plan, and;

2. The service provider has no excessive administrative charges against the program, and;

3. Any outstanding audit has been finalized, and;

4. The service provider received less than $350,000 of new DOE funds to operate the program.

V.8.3 Monitoring Activities

In compliance with 10 CFR 440.12(b)(6), KHC has established the following monitoring plan to ensure service providers adhere to contractual and federal regulatory constraints, have adequate programmatic and financial management control, and achieve acceptable quality standards in the field work performed:

- All service providers will receive on-site monitoring and desk reviews during the contract year for program oversight using an On-Site Dwelling Review Report, Weatherization Program Review, monitoring reports from previous visits, and the Service Cost Worksheet. A minimum of 5% of each subgrantee agency's production (from one year previous to the date of the monitoring) will be reviewed. Due to the varying size of the state's participating service providers there can be two different ways of final inspection. First an independent inspection performed by a QCI who has not performed the audit. The second option is a final inspection of a unit by the same person who performed the audit. In order to enhance the review of agencies utilizing the second approach, due to small staff size or efficiency, an increased number of units, (10% from one year previous to the date of the monitoring), must be monitored.
  These monitoring's will begin in the first quarter of PY 2016. This year's monitoring will include a visit to an in-progress job if possible and documented with the results of the other completed jobs. KHC will continue the process for technical monitoring deficiency follow up that was begun last year. The monitors will issue letters of finding, concerns, observations, recommendations and commendations within 30 days of the exit conference at the agency's main office location. Corrective action plans will be mandatory for any significant issues.
- All Service Providers, including CAK, will be monitored for sub-contract compliance and financial management.
- All sub-grantees' financial audit reports will be reviewed annually.
- An annual review of the audit will be performed by CAK. The review will compare the audit schedules related to weatherization expenses as well as review the entire audit for any findings or concerns. CAK will forward audit review and comments to KHC for review.

A monthly desk review of each service provider's WX-702 Invoice, WX-710 Completed Dwelling Reports and other required documents will be performed. The purpose of the review is to tie invoices to reported completions by comparing Service Cost expenditures on the Completed Dwelling Reports to KY Green. Unless there is a justification as to why the two reports are not in agreement, invoice requests will be denied.

A monthly desk review of each service provider will be conducted to:

- Confirm demographic data is correct for reporting,
- Ensure Service Costs are within their allotted caps and identical to KY Green entries,
- Check program completion Averages for H&S, Program Support, Weatherization Costs and Materials,
- Compare expenditure rates,
- Review allocation budgets.

The KHC weatherization technical monitors will review field work; provide training, technical assistance; review program performance; and provide management with an assessment of the program.

An on-site dwelling review will be conducted annually by the KHC weatherization monitoring staff on a representative sample of each service provider's completed dwellings to ensure that all work meets WAP standards. Work quality will be evaluated as well as completeness, compliance with NEAT/MHEA or EA-QUIP audit priorities and expenditure maximums and performance of diagnostic procedures. The client files of all dwellings inspected will be reviewed to determine that all required forms are included and that they are accurate and complete. A complete file may contain all or some of the following: (depending whether the agency has private contractors or is crew based.)

1. An Application and Prioritization for Weatherization, WX-800;

2. Income verification;

3. Proof of ownership, or

4. Agency/Landlord Agreement, WX Rental

5. Work Order and completion report, generated from approved audit software

6. (Completed Dwelling Report,) WX-710

7. Copy of the NEAT, MHEA or EA-QUIP audit

8. Energy Systems Check List

9. Agency Contractor Agreement, WX-14 (Private Contractor)

10. Contractor Notice of Completion WX-16 (Private) Contractor)

11. Change Order, WX-15, if applicable

12. Private Contractor Invoice, WX-17, if applicable

13. Request to Exceed WX910/Fuel Change Request , Fuel Change Request, WX-910, if applicable

14. EPA verification statements regarding Lead and Mold Hazards

15. Baseload check list, WX-BLR

16. Project Review 106
17. Health and Safety Client Screening Questionnaire

The monitor will also look at the Weatherization Contractor Application, WX-10; Weatherization Contractor Work Reference, WX-11; the Approved Vendor List; and the Service Cost Worksheet, WX-702.

Previous monitoring findings and recommendations will be reviewed (via emailed photo documentation or future onsite visit) to evaluate the success and appropriateness of all corrective actions implemented by the service provider. Upon completion of the on-site review, the monitor will hold an exit conference with the service provider's Executive Director, the Weatherization Program Coordinator and other appropriate staff to review all findings, conclusions, and possible recommendations. Upon completion of a written report, KHC will decide any actions warranted by the monitor's findings.

KHC will monitor NEAT/MHEA audit library set up costs during the annual onsite technical review. Any service provider found to be paying substantially more than other service providers in their geographical area will be required to rebid those materials and/or services. KHC reserves the right to approve or deny any inputs that appear to not be cost effective.

For fiscal performance monitoring, KHC weatherization monitors will verify compliance with and documentation of these fiscal requirements: expenditures, source and application of funds for expenditures, access to and retention of fiscal records, previous contract audit, cost, other resources, invoicing, liability insurance policy, equipment purchase approval and property inventory maintenance. KHC weatherization staff will monitor the invoices and expenditures on a monthly basis for expenditures to the appropriate funding source. If expenditures exceed the planned budget, a budget realignment will be required.

For contractual monitoring, the KHC compliance officer will verify compliance with and documentation of these contractual requirements: disallowed cost reimbursements, reporting, personnel policies, record confidentiality, conflict of interest and nepotism, client and dwelling eligibility, documentation of training, purchase bidding, listed assurances and certifications and record retention. On site monitoring will take place throughout the program year with the majority being conducted in the final 6 months of the grant term.

We feel a three pronged (technical, programmatic and compliance) monitoring approach has helped us identify agencies in the past year who needed assistance at a variety of levels. It has also influenced the decision to increase oversight during the invoice process which has spurred additional audit training and more specific audit outcome related procedures.

Technical and Monitoring data is being tracked in a KHC internal system (KY GREEN). Failed inspections require a follow-up action by the monitor to ensure corrections to deficient work.

When concerns arise staff meetings are held to assess the current quality of services provided. Trends are discussed and determinations for corrective and punitive actions are made and presented to leadership for concurrence. KHC reserves the right to increase site visits and complete unit monitoring for any agency with significant or persistent deficiencies.

KHC will review each service provider's progress, identify those with problems, provide technical assistance and training where necessary and request a Corrective Action Plan. When determined necessary, CAK will provide technical assistance to agencies having administrative or technical problems. Agencies working under a Corrective Action Plan will be monitored closely for signs of improvement.

Corrective Action:

Service providers identified as not meeting the planned goals of the program, who lack in proper supervision, do poor quality work, have not

implemented new procedures, exceed cost limitations, experience high overhead, or are overall poor performers, are subject to having their funding levels reduced, reimbursements recaptured, or potential termination as a service provider until programmatic improvements are made.Prior to taking steps to terminate the service provider, the problems will be identified and the service provider will be contacted and required to submit a Corrective Action Plan outlining the steps to make improvements in the areas identified. Staff of KHC and/or staff of CAK, will provide assistance to the agency in order to improve the status of a service provider.

Building Performance Institute (BPI), Quality Control Inspectors (QCIs) Who Fail To Properly Perform

Anyone holding a BPI QCI certification and performing final inspection services where a QCI certified staff is required must uphold BPI standards of ethics. When any QCI staff becomes aware of activities in violation of the Weatherization Assistance Program requirements, they are obligated to report those activities to Kentucky Housing Corporation. This section applies to KHC, agency and contract staff. Contract staff must have verbiage in their contract making them aware of this section and it's applicability to them.

KHC will take a three step approach to QCI inspectors that are not inspecting units using the standards adopted in the Kentucky Weatherization Field Guide and the NREL SWS. KHC reserves the right to issue (or not issue) one verbal warning before begining the process below if the defficiency found is not systemic throughout the QCI's performance.

First offense will begin with a written reprimand and notification to BPI of the circumstances involving the issuance of the reprimand.

Second offense will begin with a written reprimand and notification to BPI of the circumstances involving the issuance of the reprimand and a six month disbarment from inspecting for the WAP in Kentucky.

Third offense will begin with notification to BPI and disbarment from inspecting for the WAP in Kentucky.

Staff with Monitoring and/or Compliance Responsibilities:

Partially paid with DOE Administrative Funds (40%)
Leslie Marcum -- Compliance
11 years experience with Weatherization Program and other federal housing programs
(5 of those as an Agency Weatherization Director, 3 in Compliance Monitoring

Partially paid with DOE T/TA funds (51% of T/TA budget used for salary and travel)
John Cora-- Assistant Director of Design and Construction Review
Level III KY Certified Code Official
KY Dwelling Needs Evaluator
30 years construction related experience
7 years experience in WAP administration
2 years WAP field experience

Troy Gosser -- Monitor/Trainer
Level 1 Infrared Thermography Certification
BPI Building Analyst (BA)
BPI QCI- EA - IDL
Certified Lead Renovator
OSHA 30

Charlie Smith-Monitor/Trainer
Licensed KY Journeyman HVAC
Licensed KY Electrical Contractor
Licensed KY Master Electrician
Level 1 Infrared Thermography Certification
BPI Building Analyst Training
BPI QCI - EA - IDL
Certified Lead Renovator
OSHA 30
Applying ASHREA 62.2
Weatherization Training Thought Leaders Summit
2011 National Weatherization Training Conference
Security Awareness (EDTSA)
Asbestos Awareness train the trainer
Employee Discrimination and Harassment Prevention
ISD training

V.8.4 Training and Technical Assistance Approach and Activities

Training and technical assistance (T&TA) is available and required for all service provider agency personnel and private contractors covering any aspect of operating the Weatherization Assistance Program. Requests can be initiated by a service provider, monitor, CAK or KHC program staff.

For grantee provided assistance, KHC will decide the most appropriate personnel or method to provide training and technical assistance. Classroom and field training sessions, providing hands-on experience, will be continued for service provider evaluators and heat system technicians performing energy system health and safety tests and repairs. Field training sessions will reinforce classroom training that has already been conducted and will provide updated information on new heating equipment and components.

The KHC Residential Energy Efficiency training center meets the milestones mentioned in Section 4 of WPN-4 by currently providing training on the two required levels.

Tier 1 Training

Our training capability has been upgraded by the relocation of our combustion lab to a larger facility and expanded to include separate classroom, individual combustion testing rooms, CAZ & ASHRAE demonstration rooms, and a mobile home inside the center. Our training center has been renamed and is now called Residential Energy Efficiency (REE) training initiatives. The center has received IREC accreditation for its Energy Auditor, Quality Control Inspector, Retrofit Installer Technician and Crew Leader curricula. All of the required training props have been constructed in order to not only teach these BPI HEP courses but also to perform BPI testing. The REE center has received certification from BPI as an official testing location. We can now train and test for BPI QCI, EA, RIT, CL, BA and IDL certifications. We have 14, Tier 1 trainings scheduled for this current calendar year.

Tier 2 Training: Single-issue, short-term, training to address acute deficiencies in the field are also taught at the REE training center. These courses include; ASHRAE 62.2, Building Analyst, Combustion Appliance Zone, Dwelling Needs Evaluator, Leakage Envelope and Ducts, Infiltration Duct Leakage and NEAT/MHEA. Individual sections of the Retrofit Installer class can be pulled out for individual training such as dense packed wall, crawlspace and chimney kit installation. Training and technical assistance will also be provided through on-site visits, webinars, live electronic meetings, regional training sessions or statewide training sessions and third party providers such a s OSHA online training, CPR, online asbestos awareness training, online mold and moisture training, online lead safe weatherization and 3rd party hands on lead safe weatherization training. We have 43 Tier 2 trainings sceduled at the REE center not including any online, site visit, webinar, regional or state wide training.

The REE center training courses can be found online by pasting this link into your browser http://www.kyhousing.org/Resources/Pages/REE-Training-Courses.aspx

For out of state:
Tier 1 or Tier 2 trainings, the sub-recipient must maintain documentation showing why similar training was not available or cost effective in Kentucky.

A new milestone (not required by Section 4 of WPN-4) is the REE center targeting the multifamily weatherization market by endeavoring to build a working multifamily building prop. This will be accomplished by utilizing existing connected spaces and building new connecting vertical spaces to simulate garden style units. We have one staff who holds a BPI Multifamily Building Analyst designation and we intend to have two more staff trained this year. The final faucet of this initiative is to develop or purchase an approved multifamily curriculum and begin delivering multifamily auditing classes.

After concluding a training or technical assistance activity, a T&TA report will be completed to document which trainer conducted the activity, what training or assistance was provided, when and where the activity occurred and which service provider staff participated in the activity. This report will be completed by each agency and kept in their records. KHC will provide training and technical assistance to all service providers as described in the following plan:

1) Routine Technical Assistance. Technical assistance covering any programmatic aspect of operations can be provided by the monitoring staff (during monitoring visits), CAK or KHC staff. Technical assistance can be offered any time the service provider encounters a problem or issue. If the monitor identifies major problems, more extensive technical assistance will be scheduled in the immediate future following the monitoring visit. Technical assistance related to the actual installation of weatherization measures will be provided by experienced staff.

2) State Training. Statewide training will be scheduled by KHC when it is deemed that statewide training is needed. Appropriate service provider staff and private contractors are required to attend each state sponsored related training sessions. Funds are made available to support the expenses incurred while attending the training for agency staff only.

3)Agency Comparisons - Production & Energy Efficiency: Monthly technical staff meetings will be held to assess the current quality of services provided. Trends are discussed and determinations for network wide or targeted agency training made based on the work and production reviewed by three staff persons who may rotate between training and monitoring duties. The focus of these meetings will be to share information on work quality observed in the field to identify areas of improvement in the training curriculm. Also to give field monitors awarenes of students who may need additional field mentoring after coming out of the classroom experience. We will work on a methodology to capture energy savings and incorporate that information into these meetings to assess how agency performance impacts energy efficiency.

The grant tracking system used by KHC (KYGREEN) will provide unit production numbers on an agency level. KHC will gather follow up energy usage information from the CAAs (provided from a sample of assisted units per agency). Using these two data points, KHC will be able to evaluate which agencies may need additional training focus throughout the year.

Additionally the reviews performed by our compliance staff generate, or identify, training needs. Frequent interaction with staff identify problematic areas in specific agencies. This three pronged (technical, program and compliance) approach has helped agencies in the past year who have experience leadership changes and organizational challenges.

DNE Training Criteria

Any service provider weatherization staff assigned dwelling needs evaluation or inspection activities as any portion of their job duties must participate in the Basic Blower Door, Energy Systems, and NEAT and MHEA training courses to perform those duties; and other related topics as deemed necessary by KHC.

Each course will have a written examination and a laboratory examination requiring a passing score of 70% for successful completion of the written portion. An additional shadowing or field phase must also be deemed satisfactory. It will be the responsibility of the service provider to train crew leaders or private contractors in Basic Blower Door knowledge and skills for using the blower door during material installation at client dwellings.

Staff performing the duties of a Dwelling Needs Evaluator will be required to pass a refresher course that encompasses all aspects of the evaluator training every three (3) years.

Failure of a service provider staff member or private contractor to meet the following series of certification criteria successfully within the time frames established by KHC will result in that individual or private contractor being prohibited from performing the assigned or contracted activities on client dwellings. Participation in and the successful completion of advanced, refresher and other related training is required to maintain qualified staff to perform program activities. KHC will make every effort to assist the service provider personnel with attaining the required skill levels.

Prior to attaining full DNE status, the agency personnel must participate in, pass, and complete the following:

1. Basic Blower Door. Be able to show an understanding of dwelling pressure diagnostic principles, related terminology, and a sequence of test procedures on a written examination. Be able to demonstrate on-site, the ability to properly test a dwelling. The demonstration would include correctly preparing the dwelling, installing the blower door, reading the gauges, determining the ventilation rate, and locating air infiltration by-passes and heat system duct leakage. (included in KY DNE training)

2. NEAT and MHEA training. Demonstrate ability to perform a Dwelling Needs Evaluation using the NEAT or MHEA audit which includes gathering accurate measurements, inputting data to the software program and interpreting and using the data to prioritize repair measures. (included in KY DNE training)

3. Dwelling Needs Evaluation and Material Specifications. On a written examination, show understanding of the Dwelling Needs Evaluation process, measure priority order, and the concept of the whole-house approach to weatherization services. Be able to use the Material Specification Manual to identify proper materials and the correct installation methods. Demonstrate on-site the ability to conduct a thorough Dwelling Needs Evaluation by performing each procedure in the correct sequence and identifying the corrective measures required by the test dwelling. (included in KY DNE training)

4. Energy Systems. Attend and successfully complete a series of training sessions addressing all types of combustion fuels and appliances. Topics include, but are not limited to, heating unit inspection, furnace examination, understanding of combustion principles; heating unit operations, and component functions; health and safety and troubleshooting tests and equipment; ventilation principles and systems; electricity and use of code books and other reference materials. Demonstrate in a laboratory and in a field setting the ability to properly perform all required health and safety tests, test energy systems for operation malfunctions and identify and perform proper corrective measures. (included in KY DNE training)

5. Lead Based Paint Safe Work Practices. Attend and successfully complete eight (8) hours of lead based paint safe work practices as it pertains to weatherization or a 4 hour DOE approved online course of the same designation. Additionally, attend a DOE or EPA approved refresher course as directed by KHC, and any other DOE required Lead training. (must obtain from certified trainer)

6. CPR Training. Attend and successfully complete a Basic First Aid/CPR class. Attendees can schedule training with the local Red Cross or other agencies that have a certified course in CPR.(must obtain from certified trainer)

7. Energy Related Mold and Moisture and Basic Air Conditioning. Attend and successfully complete eight (8) hours of training on recognizing conditions that promote mold growth they may encounter in conducting weatherization work applications and methods to best prevent new mold growth. (included in KY DNE training)
8. Renovation, Repair and Painting (RRP). Attend an EPA certified ~~8 hour~~ course and achieve a Lead Renovator (RRP) certification. (must obtain from certified trainer)

Each service provider is required to have a staff person who has, or is working to attain, the qualifications of a Dwelling Needs Evaluator. Staff whose sole duty is energy systems repair or replacement are required to pass energy systems components of the training sessions. Heat system work limited to solid fuel is exempt from the certification criteria training requirements; however, sufficient field training on solid fuels will be provided.

All training sessions will be identified, scheduled and taught by KHC staff or arranged with a certified instructor in a particular field. As new procedures and initiatives are introduced, training will be identified and scheduled. KHC reserves the right to prohibit individuals who do not successfully complete applicable training requirements from performing Dwelling Needs Evaluation.

Training is provided by Kentucky Housing Corporation (KHC), or by outside trainers.
Anyone working in the Weatherization Program, including private contractors will be required to attend training sessions as they relate to their job duties.

While each service provider is allocated sufficient funds to attend trainings and conferences, prudent use of the training funds is expected. Service providers will be required to maintain information in their files to document that all expenses for training are both reasonable and necessary for implementation of the weatherization program. Expenses for out of state trainings will also need documentation showing why a similar training could not be accessed in Kentucky. Training and Technical Assistance funds allocated to agencies can not be used to pay for QCI training/testing in excess of three times per staff person. Additional trainings/testing for that person's QCI will need to be covered by another funding source.

T&TA funds may also be used to train contractors at the Subgrantee level participating in the Program. In making the determination to pay for contractors' training, Subgrantees should secure a retention agreement in exchange for the training. The retention agreement should require that contractors will work in the Program for a specific amount of time and must align with the cost of the T&TA provided. Examples of contractor/agency retention agreements can be found on EERE's website under **WPN 10-1**.

Training curriculum:

Kentucky's courses are on-going and are offered when there are new hires or when there are sufficient people to conduct a class.

Training will include:

1. One two-day class for Heat Pump Evaluations and Duct Sizing
2. Blower Door Diagnostics
3. Base-load Measures
4. Update for National Fuel Gas Code (NFPA) 54
5. NEAT/MHEA
6. Moisture and Mold training
7. Program Policy and Procedures
8. ASHREA
9. Asbestos Awareness
10. Dwelling Needs Evaluation for conventional single family dwellings & mobile homes
11. Kentucky Weatherization Field Guide
12. Infrared camera use
13. Client Education as detailed in WXPM excerpt at the end of this section.
14. Quality Control Inspector
15. Energy Auditor
16. Crew Leader
17. Retrofit Installer

Specialized training is offered by KHC staff at a leased, off site training center, to thoroughly cover heat systems evaluations and baseload measures.

To offset retirement and resignations affecting the work force, service providers are required to have trained and certified staff, including back-up personnel, especially for evaluators. Attendance at training is a requirement. In order for service provider evaluator staff to perform the required weatherization activities, they are mandated to be qualified in the following areas:

Dwelling Needs Evaluators:

• WAP Policy
• NEAT/MHEA, EA-Quip Audits;
• Mold/Indoor Air Quality Issues;
• Heat Pump Evaluations,
• Heat Systems Evaluation including solid fuel, electric and natural gas/propane systems;
• Basic Blower Door,
• Lead Safe Weatherization Work Practices
• Certified Lead Renovator
• Kentucky Weatherization Field Guide
• CPR (must obtain from certified trainer)
• Asbestos Awareness
• ASHREA
• Field Shadowing
- Completion of training requirements = Conditional Status
- Successful shadowing after 3 month minimum conditional period = Full Status

Note: Evaluators in "Conditional Status" must complete ~~of~~ all of the above training and field shadowing before solo evaluation work can be done. An evaluator in conditional status should be monitored by the agency's "Full Status" evaluators and administrative staff to ensure quality.

All crew leaders and installer staff must have completed the following training before working on the jobsite.

Crew Leader

8 Hours Lead Safe Weatherization Work Practices or a DOE approved 4 hour online course.
Kentucky *Weatherization* Field Guide
Mold Awareness
CPR
Certified Lead Renovator (as applicable, see health and safety in Master File)
Asbestos Awareness
ASHREA

Installer Staff

• 8 Hours Lead Safe Weatherization Work Practices or a DOE approved 4 hour online course.
• Mold Awareness
• CPR
• Asbestos Awareness

Installer staff must work under supervision of a crew leader unless they have completed all crew leader training requirements.

Required training for all sub-contractors (including HVAC, Electrical, Plumbing and general weatherization)

CPR training (required for all employees)
Lead Safe Work Practices (required for all employees) 8 Hours Lead Safe Weatherization Work Practices or a DOE approved 4 hour online course.
Lead Renovator (required for crew leaders)
Lead Safe Firm Certification
Mold Awareness training (required for all employees)
Asbestos Awareness (required for all employees)

Technicians:

All new technicians are required to be licensed in HVAC and electric. Technicians shall maintain their professional licenses in accordance with KRS 227A.010-150 for electric and KRS 198B.650-689 for HVAC, and meet all requirements regarding fees and continuing education.

KHC Monitoring Staff Certifications/Training Certificates:Certified Dwelling Needs Evaluator/Energy Auditor/Quality Control Inspector
Certified Renovator
Building Thermographer
Asbestos Awareness
Mold Awareness
OSHA 30 Hour Construction Safety
Lead Safe Work practices
Quality Control Inspector (BPI certified)

All certifications to be attained within 90 days of hire. This will be monitored by KHC Employee Services department staff.

WXPM Client Education Activities

8.5 DNE/Energy Auditor STEP-BY-STEP PROCESS

STEP 1: CLIENT INTERVIEW / EDUCATION

1. INTRODUCTION

Make An Appointment With The Client To Set An Arrival Date And Time.

The Client Must Be Present During The Evaluation In Order To:

Receive education related to weatherization procedures,

Receive and sign education and disclosure documents pertaining to health and safety issues/problems discovered by the Dwelling Needs Evaluator/Energy Auditor

Understand and agree to the evaluated measures, and

Assist in case of injury to evaluator/energy auditor.

Give A Courteous Introduction.

Show agency identification.

Establish good working relationship.

2. DESCRIBE PROGRAM GOALS

To Decrease Energy Usage Through-out The Year**.**

Provide Year Round Comfort.

Inform The Client About Any Health and Safety Issues Found.

To Help The Client Save Money On Fuel and Electric Costs.

Describe How Blower Door Tests And Dwelling Needs Evaluation/Energy Audit Will Determine Which Materials Will Be Installed.
Explain Whole-House Approach.

If Client Insists On Other Materials,

Explain guidelines prohibit measures other than those allowed by the weatherization program.

Explain the NEAT/MHEA audit will give recommended measures to be performed, and that the client will need to sign a form agreeing to allow the recommended work measures to be performed in their home.

3. DESCRIBE EVALUATION/Energy Audit PROCESS

Dwelling Needs Evaluation/Energy Audit**.**

a. Requires a thorough inspection of both inside and outside of home.

b. Includes attic and crawlspace or basement.

c. May need to create access ways.

d. Show client blower door and explain its use

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STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007921, State: KY, Program Year: 2017)

Evaluation shall include analysis of energy related mold and moisture, a determination as to whether or not there exists in the home, lead-based paint, asbestos, and any other health and safety issues/problems. See Sec. 6.16

Energy System Evaluation. Requires inspection of combustion appliances and heating system.

Show client applicable equipment and explain its use.

Explain How Evaluation Results Generated by NEAT/MHEA Audit Will Be Used To Determine Measures.

4. DISCUSSION OF CLIENT LIFESTYLE AND DWELLING CHARACTERISTICS.

Discuss Energy Related Lifestyle to Help In Choosing Measures And Behavior Change Suggestions.

Type of home heating and cooling.

How water is heated.

Space heater uses and type of fuel.

Existence of moisture and indoor air quality problems.

Cold areas in home.

Unconditioned rooms during winter.

Type of clothing worn by season.

Window shades open for warmth or closed to cool.

Moisture problems from kerosene heaters, animals, plants, plumbing leaks, lack of ground cover.

Emphasize Health And Safety Issues.

Results of excessive moisture and plumbing leaks.

Danger of carbon monoxide and fuel leaks from combustion appliances.

Faulty or inadequate ventilation of combustion appliances.

Toxic vapors from stored materials.

If necessary, tell client to clear particular areas to provide inspection and work space.

5. INVOLVE CLIENT DURING EVALUATION/Energy Audit PROCESS TO PROVIDE UNDERSTANDING

OF EVALUATION.

Techniques and Reasons For Estimated Measures.

Feel air leaks while blower door is running.

Touch warm water pipes.

Show and explain hidden bypasses.

Listen to carbon monoxide detector.

Call attention to leaky faucets.

Demonstrate how to adjust furnace and water heater thermostats.

Demonstrate how to change furnace filters.

Identify other prominent energy conservation needs.

6. DISCUSS MEASURES TO BE PERFORMED.

Mark Anticipated Measures on the DNE/Energy Audit Checklist.

Explain blower door and energy systems test results.

Explain thermal camera use and scan results.

Explain how the test results, conservation principles, and program guidelines determine the measures.

Describe how the measures will reduce energy use and costs.

Explain Whole-House method in regard to dwelling eligibility.

If Client Refuses A Measure,

Re-explain the reason and need for the measure.

Encourage the client to accept the measure.

If a client refuses a priority measure, the dwelling is not eligible for further service.

Obstructions And Inappropriate Conditions.

Tell client, and note on the DNE/Energy Audit Checklist, any measures that cannot be installed until conditions are improved.

Client Agreement.

Advise client that work cannot be performed until he or she signs the Checklist.

Advise client that once work is started, all work must be completed.

Advise client that if he or she cancels any work, the client shall be liable for material and labor costs incurred on all work completed up to that point.

7. DESCRIBE CREW/PRIVATE CONTRACTOR PROCEDURES.

Describe Material Installation Process.

Explain installation methods.

Tell client that the crew will use the blower door during material installation, and may find a need for additional measures and/or testing procedures.

Assure the client that installed materials will blend with existing structure and that work areas will be cleaned when the crew is finished.

If lead-based paint is found in the home, and if applicable to the work measures to be performed in the home, tell the client that Lead Safe Work Practices per EPA/DOE requirements must be followed.

Tell the client that worst case scenario/CAZ testing will be required if the home has combustion appliances that meet testing criteria requirements.

Work Schedule.

Estimate when work crew will be scheduled for the job.

Explain usual daily work schedule.

Tell client a work start date will be set in advance.

Give instructions to call your office if something unusual or different occurs.

8. DESCRIBE POST-INSPECTION/Quality Control Inspection PROCEDURES

Inspector Will Make Appointment To Return After Work Is Completed.

Inspection Process.

Make sure materials were installed properly.

Give instructions on keeping materials in good working condition.

Confirm that no measures were missed.

Post inspector/Quality Control Inspector will perform additional testing activities as

required.

Advise client that State and Federal government representatives may visit to monitor

work at a future date.

9. DISCUSS FUEL SAVINGS DOCUMENTATION.

Ask Client To Keep Fuel Usage Records.

Bills and receipts.

Documentation of amount used, cost, when purchased.

Explain The Information Will Be Used To Calculate Fuel And Cost Savings.

10. ASK FOR AND ANSWER QUESTIONS REGARDING ANY PART OF THE WEATHERIZATION

PROCESS.

11. PROVIDE THE CLIENT WITH EACH OF THE FOLLOWING CLIENT EDUCATION MATERIAL

DOCUMENTS AS REQUIRED, EXPLAIN EACH DOCUMENT, AND OBTAIN A SIGNED PROOF OF

DELIVERY RECEIPT:

A Brief Guide To Mold, Moisture & Your Home

Lead Safe Certified Guide To Renovate Right

EPA HTML Publication: Asbestos In Your Home

(www.epa.gov/asbestos/pubs/ashome.html)

EPA Publication: A Citizens Guide To Radon (www.epa.gov A Citizens Guide To Radon)CPSC Guide To Home Wiring Hazards (www.cpsc.gov Publication # 518)

DOE/EERE: Guide To Home Ventilation(www1.eere.energy.gov/buildings/openhouse/pdfs/ventilation_factsheet16.pdf)

CPSC Guide: What You Should Know About Space Heaters (www.cpsc.gov What You Should Know About Space Heaters) Combustion Equipment Safety & Hazards:

http://apps1eere.energy.gov/buildings/publications/pdfs/building_america/26464.pdf

How To Maintain A Clean Home & Correct Unsanitary Conditions (Service Provider May Create An In House Document)EPA Indoor Air Pollutants Brochure: www.epa.gov/osw Document # EPA 530-F-06-013

Obtain A Signed Disclaimer If Unvented Space Heaters Are Being Used and removal is not allowed.Obtain A Signed Disclaimer if portable/stand-alone electric space heaters are used and removal is not allowed.

Future Training Plan

Once Tier 1 training has been established, the training needed to address acute deficiencies or any of the training listed above that does not fall into Tier 1 as defined in WPN 15-4 will be considered Tier 2 training. Tier 2 training will be provided by KHC Staff, webinars, or other outsourced training providers.

At the request of the sub-recipients KHC, in partnership with CAK, will organize regular meetings with CAA WAP program managers and staff. The meetings will serve the function of allowing CAAs a forum to share best practices, brainstorm innovative solutions to issues which create challenges for all and receive program administration updates from KHC.

It is our intent to begin a multi year process to train all field staff to their JTA. In order to meet the mandate of WPN 15-4 haved reached the point where every agency either has a QCI on staff or a contractor to provide those services. Our focus will now shift to enduring that all service providers have at least one who has completed Crew Leader training on staff or in training by the end of this program year. In the meetings mentioned above KHC will enlist agency input on the best way to expand training to installer staff in the next grant cycle.

Additionally, with the intense focus on the need for QCI and Tier 1 training over the past few years, we are seeing a need to refocus some of our training efforts on areas such as program administration, financial management and reporting.

V.9 Energy Crisis and Disaster Plan

Currently, Kentucky does not expend WAP funds under an energy crisis plan, but will take this issue under consideration.