

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

(Grant Number: EE0007921, State: KY, Program Year: 2018)

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

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:

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.
4. The applicant household has been verified as eligible for LIHEAP bill payment assistance within the preceding 12 months

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 #1-3 above. Program Notices from DOE will indicate an effective date of any revised poverty guidelines. The application and supporting documentation will be reviewed and verified by the program coordinator.

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 automatically 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.

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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,
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 - (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.

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(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.

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.

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 Reweathering 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. 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.

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Written permission from KHC must be received prior to any re-weatherization work starting.

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 applicant 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 (WPN 16-5 and WPN 16-6) 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 (WPN 16-5 and WPN 16-6.)

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 but 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**.

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Owner(s) Requirements

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) Requirements

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 Requirements

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

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.

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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.

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- 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 (CAA) 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.

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Community Action Kentucky (CAK) currently has twenty-three (23) defined Community Action Agency areas in the state of Kentucky. Funds will be allocated to those areas based on a defined formula. Where the CAA for the geographic area has a demonstrated capacity to administer the program, the CAA will be the sub-recipient. All sub-recipients are expected to operate a program that meets the minimum standards as measured by the grantee during its on-site performance and compliance monitoring reviews.

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

Once program eligibility has been established, applicant households 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. High energy burden points are assigned to households whose energy burden (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.

A dwelling unit or units whose principle purpose is to house on a temporary basis individuals who may or may not be related to one another are shelters and are eligible to receive services. Nursing homes, prisons, or similar institutional care facilities are not eligible. For determining the number of eligible dwelling units within a shelter, count each 800 square feet or each floor of the shelter, whichever creates the greater unit count as a dwelling unit.

Applicant income levels will be verified and documented through the use of the most recent check stub , Social Security checks, LIHEAP

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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](#)

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.

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Training Provided

The KHC Residential Energy Efficiency training center meets the milestones mentioned in WPN 15-4 by currently providing training on two levels:

Comprehensive Training (formerly called 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.

Specific Training (formerly called 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, Zonal Pressure Diagnostics, Dwelling Needs Evaluator, Leakage Envelope and Ducts, 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 15-4, Section 4, the REE center is targeting the multifamily weatherization market by building a working multifamily building prop 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 training center has purchased a multifamily quality control inspector curriculum and will begin offering the class this year.

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

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 15% 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 ASHRAE 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.

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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
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

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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 policies. 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 \$7,261 for *this* contract year, excluding health and safety measures. Health and safety average cost for materials and labor will have an average limited to 15% 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:

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- 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 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, 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 (BPI certified) Quality Control Inspector has performed a final

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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 Pressure Diagnostics, NEAT/MHEA and ASHRAE.

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The addition of a mobile home (housed inside a warehouse) has enabled real life, hands-on training under realistic field conditions.

A consistent 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.

A new strategy for agency oversight is to take a minimum 10% sampling of units from each agency, compute the blower door reduction (expressed as a percentage), and identify the median blower door reduction percentage, per agency. Using median figures will minimize the skewing of data due to single unit outliers with extraordinary percentages. These agency medians can provide a comparison of agencies to identify quality work and agencies that may need additional training.

V.7 Health and Safety

See SF-424 attached 2017 Kentucky Health & Safety Plan.

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 its 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 QCI certified staff and 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-

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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 monitorings will begin in the first quarter of PY 2018. 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. 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

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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

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

Monitoring data is being tracked in a KHC internal system (KY GREEN). Monitoring findings require a follow-up action by the monitor to ensure appropriate corrective action.

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

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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 beginning the process below if the deficiency 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 result in a written reprimand and notification to BPI of the circumstances involving the issuance of the reprimand and a six month suspension from inspecting for the WAP in Kentucky.

Third offense will result in debarment from inspecting for the WAP in Kentucky and notification to BPI of the circumstances involving the debarment.

Staff with Monitoring and/or Compliance Responsibilities:

Partially paid with DOE Administrative Funds (40%)

Leslie Marcum – Compliance

12 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

Deanna McCord - Manager, Training Initiatives

20 years compliance experience
8 years WAP program experience
BPI Building Analyst

Troy Gosser - Monitor/Trainer

Level 1 Infrared Thermography Certification
BPI QCI, EA, RIT, CL, BA, IDL, HHE
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 QCI, EA, RIT, CL, BA, Multifamily BA and IDL
Certified Lead Renovator
OSHA 30
Applying ASHRAE 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

Dewayne Cade - Monitor/Trainer

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Level 1 Infrared Thermography Certification

BPI QCI, HHE

Certified Lead Renovator

OSHA 30

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 14-4 by currently providing training on the two required levels.

Comprehensive Training (previously called "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 classrooms, 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 staff hired to provide services equal to the JTA of a Retrofit Installer Technician must receive Comprehensive Training from an IREC-accredited facility and curriculum for Retrofit Installer Technician within the first six months of their hire and must receive the same training every five (5) years after the completion of their initial training, to serve as a refresher.

All staff hired to provide services equal to the JTA of a Crew Leader must receive Comprehensive Training from an IREC-accredited facility and curriculum for Crew Leader before their hire/promotion into the Crew Leader position, and must receive the same training every five (5) years after the completion of their initial training, to serve as a refresher.

All staff hired to provide services equal to the JTA of an Energy Auditor must receive Comprehensive Training from an IREC-accredited facility and curriculum for Energy Auditor before their hire/promotion into the Energy Auditor position, and must receive the same training every five (5) years after the completion of their initial training, to serve as a refresher.

All staff hired to provide services equal to the JTA of a Quality Control Inspector must receive Comprehensive Training from an IREC-accredited facility and curriculum for Quality Control Inspector before their hire/promotion into the Quality Control Inspector position, and must receive the same training every five (5) years after the completion of their initial training, to serve as a refresher.

All of the required training props have been constructed in order to not only teach these BPI HEP courses but also to perform BPI certification 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, IDL and HHE certifications.

Specific Training (previously called "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, Zonal Pressure Diagnostics, Dwelling Needs Evaluator, Leakage Envelope and Ducts, and NEAT/MHEA. Individual sections of the Retrofit Installer class can be pulled out for focused 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 as 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.

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 training:

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Comprehensive and Specific trainings (formerly called 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 14-4) is the REE center targeting the multifamily weatherization market by constructing a working multifamily building prop. This was 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. We have purchased a multifamily quality control inspector curriculum and will begin delivering multifamily QCI classes this year.

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 and private contractors.

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 curriculum. Also to give field monitors awareness of students who may need additional field mentoring after coming out of the classroom experience. Weatherization Analysis of Effectiveness results are also reviewed in these meetings to identify potential areas of focus for training or network guidance.

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 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.

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)

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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 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. ASHRAE
9. Asbestos Awareness
10. Dwelling Needs Evaluation for conventional single family dwellings & mobile homes
11. Kentucky Weatherization Field Guide

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- 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
- ASHRAE
- 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 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
ASHRAE

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)
8 Hours Lead Safe Weatherization Work Practices or a DOE approved 4 hour online course (required for all employees)

Lead Renovator (required for crew leaders)
Lead Safe Firm Certification
Mold Awareness training (required for all employees)
Asbestos Awareness (required for all employees)

Technicians:

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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
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 obtained 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

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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

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.

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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.

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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

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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://apps1.eere.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 Comprehensive (formerly known as 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 Specific (formerly known as 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 we have 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 ensuring 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.