

## U.S. Department of Energy

### STATE PLAN/MASTER FILE WORKSHEET

Grant Number: EE00152, State: KY, Program Year: 2009

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

#### III.1 Eligible Population

##### III.1.1 General Description

###### 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 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.
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.

Income is defined as the annual total cash receipts before taxes from all sources. These include money, wages and salaries before any tax deductions, but do not include food or rent in lieu of wages. These receipts include 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). Income also includes regular payments from Social Security benefits, railroad retirement, unemployment and workers compensation, strike benefits from union funds, veterans' payments, training stipends, alimony, and military family allotments, private pensions, government employee pensions (including military retirement pay) and regular insurance or annuity payments; and income from dividends, interest, net rental income, net royalties, periodic receipts from estates or trusts and gambling or lottery winnings.

Income excludes capital gains; any assets drawn down as withdrawals from a bank, the sale of property, a house, or a car; child support payments, college scholarships, one-time payments from a welfare agency to a family or person who is in temporary financial difficulty, tax refunds, gifts, loans, lump-sum inheritances, one-time insurance payments, or compensation for injury. Income also excludes non-cash benefits, such as the employer-paid or union-paid portion of health insurance or other employee fringe benefits, food or housing received in lieu of wages, the value of food and fuel produced and consumed on farms, the imputed value of rent from owner-occupied non-farm or farm housing, and Federal non-cash benefit programs as Medicare, Medicaid, Food Stamps, school lunches, housing assistance and combat zone pay to military.

###### Procedures to determine that units weatherized have eligibility documentation:

No dwelling will be weatherized until it is determined that the dwelling /occupants are determined income eligible. Applicant income levels will be verified and documented

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through the use of the most recent check stubs or bank statements, Social Security checks or statements, LIHEAP application, Department for Community Based Services' Temporary Assistance for Needy Families (TANF) or Kentucky Transitional Assistance Program (K-TAP), food stamp program and other similar programs. Categorical eligibility will be verified and documented through the use of SSI award letters and copies of SSI checks. These records will be obtained by the intake worker during the application process. The application and supporting documentation will be reviewed and verified by the program coordinator.

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

Children: Priority will be given to households with children under 6 years of age, and those households where the dwelling conditions are substandard and the children are at a risk of being removed from the family.

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

**Definition of children: Below age** 6

**Recommend tribal organization(s) be treated as local applicant?** No

**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.

**III.1.2 Selection of Areas to Be Served**

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

All twenty three (23) service providers have a number of years of experience at administering and operating a weatherization program. All are currently operating a program that meets the minimum standards as measured by the grantee during its on-site performance and compliance monitoring.

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Those service providers that are identified as not meeting the planned goals of the program, lack proper supervision, do poor quality work, have not implemented new procedures, exceed cost limitations, experience high overhead, and are overall poor performers, are subject to having their funding levels reduced, until programmatic improvements are made, or are subject to being terminated as a service provider. Prior to taking steps to terminate the service provider, the problems will be identified. 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 the primary contractor, CAK, will provide assistance to the agency in order to improve the status of a service provider.

Any new service providers will be selected based upon required state and federal procedures, which will include an RFP and a public hearing. Any new or replacement service provider will meet the criteria outlined previously.

All service providers will be given the option of subcontracting the weatherization of qualified units with a private sector contractor. This option will be used when it is determined that a service provider cannot effectively manage its personnel in a manner that assures that program standards for completeness and quality of workmanship are maintained or the service provider does not have the trained and certified personnel necessary to perform the tasks.

If a service provider elects to subcontract with a private contractor, it shall follow the established guidelines for private sector contracting outlined in the weatherization assistance program operation and policies as explained below:

Private Contracting. Prior to entering into a subcontract with private sector contractors, the service provider must:

- Send a letter signed by the service provider's signatory authority to KHC requesting the option to use private sector general contractors, and
- Submit a detailed plan as to how the program will be operated, including a description of the following areas.

An Approved Contractors List (ACL) must be created and maintained, using the following process:

A. The service provider shall place a legal advertisement in all local newspapers of the geographical area to be served. The advertisement shall solicit licensed, insured, contractors to perform Energy system repairs or replacements and/or regular weatherization. The service provider will conduct an orientation meeting to explain the Weatherization Program, inspection procedures, work procedures, form requirements, bidding procedures, suspension criteria, reimbursement procedures and policy, to all interested contractors.

The contractors will complete a Weatherization Contractor Application (WX-10) and a

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Non-Financial Agreement (WX-12). Service provider staff will closely review the information and verify all the information using the Contractor's Work Reference (WX-11).

If the contractor meets all the criteria, the WX-12 will be signed by the appropriate service provider staff. The service provider will notify the contractor in writing to acknowledge approval or disapproval. If disapproved, the reasons will be documented in the letter.

Once a list has been developed, a procedure meeting will be scheduled for all participating contractors. The program policies and procedures will be explained in detail and all applicable forms and manuals will be discussed as needed. All contractors will be required to attend this meeting. All contractors shall provide a Certification of Insurance, which shall be kept on file by the service provider.

Service providers shall allow private contractors an opportunity to apply annually. If the service provider needs additional contractors during the year, the ACL can be re-opened.

The service provider can remove a contractor from the ACL for reasons covered under the non-financial agreement, bidding procedures, suspension criteria, or other related service provider policies. The contractor must be notified in writing of the reasons and be given an opportunity to respond.

Bidding Procedures. The service provider must submit a description of the bidding procedures that includes the following:

- Compliance with all program policies;
- Criteria for measurements, quantities, locations and change orders;
- Method(s) to resolve discrepancies between the dwelling needs evaluation and the contractor's interpretation of the measure descriptions;
- Procedures for completing the contractor's bid;
- Starting dates, extensions, change orders, inspections, and completion dates;
- How bids will be awarded; and
- Posting of a spreadsheet to provide documentation of the winning bid.

Award of Bids. The service provider will perform the dwelling needs evaluation and be required to adhere to the following procedures to award the bids:

- A. The service provider will send letters to all contractors on the ACL an invitation to bid, work orders, all applicable forms, and the deadline for submitting the bid.
- B. Contractors are required to submit bids on the WX 900P, Work Order.
- C. The service provider will review the bids to compare with the service provider's

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estimate. The contractor's bid must fall within a range of 10% of the service provider's estimate, to be eligible. From the pool of eligible bids, the service provider will determine the lowest or best bid.

D. If all bids exceed the 10% limitation, they shall be returned to the contractors for a re-bid. If the second bid exceeds the estimate, the work order must be reviewed and a decision made to award the bid.

E. The contractor will be notified and the Agency/Contractor Agreement (WX-14) signed by both parties.

Change Orders: If at any time during the work process, any changes, additions, or deletions are needed, the service provider, contractor and applicant must agree and sign a Change Order (WX-15).

In Progress Inspections, Final Inspections and Reimbursement: An on-site in-progress inspection may be performed at any time. When the job has been completed, the contractor will complete and send a Notice of Completion (WX-16) and the Final Invoice (WX-17) to the service provider. The service provider will schedule a final inspection and if the work meets program standards, the reimbursement process will begin. If the work fails to meet program standards, the service provider will list the deficiencies on a Deficiency Notice (WX-16A) and allow the contractor to correct the deficiencies. After the re-work, the service provider will perform a re-work inspection.

**III.1.3 Priorities**

Priority shall be given to identifying and providing weatherization assistance to families whose annual household income does not exceed 200 percent of the poverty level. Once this has been established, the household will be prioritized according to its occupancy with preference given to those households containing an individual who is elderly, a young child, or disabled. Also, a pattern of high energy usage is factored into the priority ranking. In situations where a household includes a child at risk of being removed from the home due to sub-standard conditions, the priority ranking is waived altogether so that service can be rendered without delay.

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 source of income has changed, a new application must be processed.

Each eligible household is prioritized for selection to receive assistance. This is accomplished by the information gathered on the WX-800 through a point system. More points are given for elderly and disabled family members, households with the lowest annual

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income which use the highest percentage of their income for residential energy costs, and households which use the highest cost fuels per BTU of energy provided. The point spread for this category ranges from two points for 0-6 percent of income to 15 points for 34 percent and above of income. The primary fuel type is also evaluated with a point spread of from two to eight points with electricity receiving eight points and coal receiving two points. In addition, if a household has members who are elderly or disabled, an additional four points will be added if the household's energy source is wood or six points if the energy source is coal. Households with children under the age of six will receive an additional five 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.

The service provider will be required to review and prioritize all WX- 800s on a regular basis, at least every six (6) months and no more often 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 on a routine basis to assure that sufficient applications are being taken 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.

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

Dwelling Eligibility Criteria: Service providers will not be allowed to use contract funds to

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install Weatherization materials or provide other Weatherization services to a dwelling previously served with contract funds unless one of the following conditions exist:

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.

A KHC representative has determined that appropriate or sufficient materials were not originally installed in the dwelling.

Dwelling units weatherized prior to September 30, 1993, may receive further Weatherization. These dwellings will receive a new dwelling needs evaluation and will be eligible for services.

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

Rental Property.

*A landlord and tenant weatherization agreement of 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. Among the terms of the agreement is the requirement that the landlord provide a financial contribution toward the cost of repairing or replacing a heat system. See 111.5 Rental Procedures for a complete description of rental property.*

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.

**III.2 Climatic Conditions**

Initial blower door training, pre- and post-test implementation have confirmed that the housing stock encountered in Kentucky's weatherization program is extremely leaky in terms of air infiltration and lacks adequate insulation. The NEAT or MHEA audit will be used for every evaluation performed. Appropriate measures for the State's housing stock and climate will be selected from the audits measures list. 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 indicate only the essential air infiltration measures that are needed and 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.

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III.3 Weatherization Work

III.3.1 Type of Work to Be Done

Weatherization measures will be selected from those available through the NEAT or MHEA and specific additional itemized measures that are included in the listed measures categories. Installed measures will be limited by the audit and allowable federal and state cost limits

**Worker education:** A series of one-day training workshops will be conducted, as needed, during the 2009-2010 program year to provide general information regarding mold and other indoor air quality issues to personnel who work on weatherization projects. The intent of these workshops is to convey a basic knowledge of the types of mold and indoor air quality problems and how to proceed when they are encountered. Since remediation is not an allowable cost, tactics that are allowable, such as moisture control, will be emphasized as acceptable methods in dealing with these scenarios. If mold is identified during the inspection/evaluation phase, and weatherization will exacerbate the problem, the dwelling will be considered as a "walk-away" until such time as the problem is alleviated. Guidance will be offered on deferring projects because of the severity of mold infestation or other irreparable indoor air quality conditions.

**Client Education:** All households receive the EPA Pamphlet "A Brief Guide to Mold, Moisture, and Your Home" (EPA 402-K-02-003), as part of the initial inspection of the dwelling. A certified inspector for the program discusses with the head of the household the possibility, though remote, that weatherizing the home could in some cases exacerbate mold growth. If weatherization will not aggravate the mold problem, clients or landlords will be informed of the mold present in their homes and will be required to sign a disclaimer statement that states what weatherization activities will be done to the dwelling, and that the work performed should not promote new mold growth. Once informed, the client can choose to opt out of the service or sign the statement confirming that the information was shared, and permission thereby granted to weatherize the home.

**Type of Work**

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

**Health and Safety**

Heating unit repair/replacement for health and safety purposes related to unsafe levels of carbon monoxide and an inoperable heating unit. Fuel line leaks, water heater and other appliance repairs for health and safety purposes, combustible surface protective materials.

**Infiltration Reduction**

Repairs to all areas of significant air infiltration, including attic bypasses and repairs to tighten heating ducts. Less significant areas of air infiltration can be addressed after all audit measures have been completed, provided the expense does not exceed the maximum cost per dwelling.

**Baseload**

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Water heater jacket, duct wrap or any energy using items that are not heat and cooling systems.

Refrigerator Replacement

Replacement is dependent upon NEAT/MHEA Audits

Low Flow Showerheads

Minimum of 1 as plumbing conditions permit

Fluorescent Light Bulbs - Minimum of 2

**Attics**

Attic insulation and incidental repairs.

**Walls**

Wall insulation and incidental repairs.

**Floors**

Floor insulation, water pipe wrap and other incidental repairs.

**Incidental Repairs**

In keeping with the intent of the federally funded Weatherization Assistance Program, only those incidental repairs that are necessary in order to either install or protect a weatherization measure are allowed. The estimated cost of materials and labor for incidental repairs are included in the estimate for the weatherization measure (e.g., roof repair estimate included with the attic insulation cost). The repairs can be performed only if the combined estimated cost for all required weatherization measures and the incidental repairs can be accomplished within the maximum allowable cost per dwelling.

**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 a walk-through inspection of its interior and its immediate surroundings. If any of the following conditions are identified, the dwelling may not be eligible for weatherization until conditions are corrected.

Asbestos anywhere on the interior of the dwelling that would need to be addressed directly or incidentally during the weatherization process.

Raw sewage inside the dwelling, under the dwelling or within its immediate surroundings that may pose a health threat to the evaluator or work crews.

Flea infestation within the dwelling or in any area outside of the dwelling where

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service provider staff or sub-contractors would have to work.

Sanitation or health problems identified and documented by the service provider staff that pose a health hazard to its employees or sub-contractors.

Building or site conditions identified and documented by the service provider that pose a health and safety hazard to its employees and sub-contractors and cannot be corrected within the scope of the program.

Major moisture problems that cannot be corrected within the scope of the program, such as:

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

Any building with no overhangs and or gutters, exhibiting signs of major moisture problems such as blistering paint and mildew on the inside of the building.

**B. Site Ineligibility.** Should any dwelling be determined to be ineligible 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. If the client has a complaint about eligibility, either income or site, he will be advised as to how to proceed with a formal complaint.

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 shall receive a Dwelling Needs Evaluation (DNE) including a NEAT or MHEA 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:

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

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

Thermal Boundaries. Building components of a dwelling that separate conditioned

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and unconditioned spaces.

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

Identification of Energy Systems. The dwelling's energy systems, as defined in the by the weatherization assistance program operations and policies, will be identified based on a client interview and on-site verification.

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 weatherization assistance program operations and policies. 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.

Maximum Cost Limitation Standards. The regular Weatherization average cost per dwelling will not exceed \$6,500 for any one contract year. Health and safety average cost for materials, labor and program support will not exceed \$3,000 per year.

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

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.

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

The water heater and heating system ducts be insulated.

Ceilings that are thermal boundaries be insulated to a minimum R-19.

All attic areas be properly ventilated.

Walls that are thermal boundaries be insulated.

Floors that are thermal boundaries be insulated to R-11.

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

Baseload consumption be checked.

C. DNE Ineligibility Procedures. Should any dwelling be determined to be ineligible for health and safety measures or regular weatherization measures due to DNE exceeding the maximum cost limitations, the evaluator will attempt to reduce the dwelling's living area through consultation with the client.

If it is not possible to reduce the dwelling's living area, the evaluator will attempt to secure other resources to supplement weatherization funds.

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**III.3.2 Energy Audit Procedures**

Kentucky received approval to use the NEAT Audit for determining the most cost effective measures on all site-built dwellings in 1999. Agency weatherization staff were required to use the audit procedures once they had received training to understand and interpret the audit. All dwellings to be weatherized must have either a NEAT or a MHEA audit performed.

In addition to using the NEAT or MHEA audit, 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.

<u>Unit Types</u>	<u>Audit Procedures and Dates Most Recently Approved by DOE</u>
Single-family	NEAT audit approved 1999
Multi-family	NEAT audit approved 1999
Mobile Home	MHEA audit approved 1999

**III.3.3 Final Inspection**

Each dwelling unit will be reported as completed only after a service provider has performed a final inspection and certified that applicable work has been completed in a skillful manner, in accordance with the measure priorities determined by the audit procedures and in compliance with federal and state material specifications and installation guidelines.

The service provider will perform a thorough and complete post inspection in accordance with all standards in KY's program. The 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. If a dwelling has a blower door reading below 2,000 CFM at 50 Pascal after all work is completed, a back-drafting 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). 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 monthly activity report and the

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reimbursement request.

**III.3.4 Assessment of Effectiveness**

A monthly Services Cost Worksheet is generated by each Weatherization Assistance Program service provider based on the production and expenditures. The report provides material, labor and overhead 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 overhead in the energy system and structural weatherization work components and an overall total cost average for each category. These reports are reviewed monthly and the averages compared with similar service providers and to each service provider's planned production and expenditure goals. Any apparent problems are addressed as needed.

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 phone call is made, whichever is appropriate. The visit will focus on the specific problem and involve both desk review and field training. Follow up monitoring is performed and a repeat visit is made if necessary.

Guidance containing material specifications and installation standards are distributed to each service provider. All service provider evaluators receive training on inspection procedures using blower doors, carbon monoxide detectors and combustible gas detectors. All crews and contractors receive training on work procedures using blower doors. Once the evaluators, crews and contractors are fully trained and certified by the state program that they can competently use the equipment and follow the required procedures, a service provider will not receive reimbursement for any identified completions out of compliance with program guidance until corrections are made.

**III.4 Health and Safety**

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The abatement of health and safety hazards are limited to the following items:

Repair of all combustible fuel line leaks from the meter or tank to the energy system or appliance. Materials must meet federal, state, and local code.

Repair (only) of gas cooking appliances in order to reduce unsafe levels of combustible gas or carbon monoxide in living area. Repair materials must meet federal, state and local code.

Installation of protective materials on combustible surfaces adjacent to energy systems to meet NFPA clearance codes. Materials and installation must meet NFPA specifications.

Installation of smoke alarms and carbon monoxide detectors. Materials must meet federal, state and local code.

Energy systems are repaired or replaced when not operational or unsafe. This measure is taken in order to eliminate unsafe levels of carbon monoxide in the living area and to ensure adequate heating. Justification documentation in the form of analyzer print out tape, or agency diagnostic recordings for the individual unit, and photos demonstrating the specific issue(s) with the system must included in the client file.

A vastly increasing amount of housing stock being identified for weatherization is pre 1978. There is an unknown cost of lead base paint measures needed to bring these units into compliance.

In the past LIHEAP funding was used to cover this additional burden to health and safety. These funds were approximately 45 % of the regular WX budget. They are no longer available to KY WAP, creating an enormous void in meeting the statewide need.

The average cost for abating health and safety hazards is \$1,200 per unit, not exceeding a maximum of \$2,500 within the maximum unit cost, *without written approval from KHC.*

*Kentucky Weatherization (KY WX) addresses general Health and Safety (H&S) extensively in its Program Manual. The **grantee**, Kentucky Housing Corporation (KHC), oversees the content and updating of the Program Manual as needed. The Program Manual functions as the primary guidance for compliance for KHC's sub-grantee, Community Action of Kentucky, Inc., and its 23 subcontractors. In this manner, a reliable source of H&S regulations is always available to the program operators, and a consistent system is in place that is readily understood by all participants. As new H&S regulations are added or old ones augmented, the grantee (KHC) controls the content and sees that the information is distributed through its network. As a rule, KY WX has revised its manual on a bi-annual basis; the last such revision being in January, 2008. This keeps all program regulations up to date, including H&S issues.*

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*Crew and client H&S issues are viewed as closely linked in the areas of site conditions and work procedures. Working from this concept, which assumes that any hazard associated with a work site, whether it is a work practice, an existing condition, client behavior, and so forth, has the potential of harming both crew and client, a holistic approach towards H&S is taken throughout the entire process of weatherizing a home, with special emphasis given to the initial inspection.*

*This is most clearly illustrated in Chapter 9 of the Program Manual entitled "Dwelling Needs Evaluation" which, among other things, provides a step by step procedure for identifying H&S problems and the action steps that need to be taken to address them.*

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

- *Dwelling Needs Evaluation Training*
- *Blower Door Usage*
- *NEAT/MHEA Audit Usage and Interpretation*
- *Energy Systems Training*
- *Lead Based Weatherization Safe Work Practices*
- *CPR/Basic First Aid*
- *Energy Related Mold and Moisture (includes Indoor Air Quality)*
- *Basic A/C and Heat Pump Inspection*
- *Other training courses determined to be necessary by KHC*

*As **potential hazards** are identified, they are analyzed in terms of their severity and how they will be dealt with, up to and including deferral. Again, clear guidance is provided by way of the Manual in a section titled "Site Eligibility Determination". A listing of site conditions are compiled, any of which **that can't be corrected** can result in a deferral on any given project. They are as follows:*

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1. Asbestos - Asbestos anywhere on the interior of the dwelling that would need to be addressed either directly or incidentally during the weatherization process. Policies have been in effect for asbestos presence and related work practices for many years. The approach is not to disturb, cut or drill said material and deter those measures that might do so. In instances where measures can be installed without disturbing asbestos surfaces or materials, that is the best approach. In instances where a local authority such as Code Enforcement imposes specific guidelines or requirements, service provider program staff are to make themselves aware of those restrictions and comply to them.
2. Sewage- Raw sewage inside the dwelling, under the dwelling, or within its immediate surroundings that may pose a health threat to the evaluator or work crews.
3. Pests - Flea/Pest infestation within the dwelling, or in any area outside of the dwelling where service provider staff or subcontractors would have to work. (Pests include, but are not limited to: fleas, roaches, rodents)
4. Sanitation or Health Problems- Sanitation or health problems identified and documented by the service provider that pose a health hazard to its employees or subcontractors.
5. Site & Building Structure -
  - Site conditions identified and documented by the service provider that pose a safety hazard to its employees and subcontractors and can not be corrected within the scope of the program.
  - Building Structure - Structural problems with candidate dwellings can often lead to deferral because of their scope is beyond the means of the program to treat. Beyond simple incidental repairs such as roof patching, runoff diversion, there is no feasible means to address severe structural defects.
  - During the pre-inspection or initial inspection of the dwelling, the evaluator must

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

6. Moisture - Major moisture problems that can not be corrected within the scope of the program such as:
  - *An enclosed crawlspace or basement that has standing water for significant periods of time due to inadequate ground or surface water drainage.*
  - *Any building with no overhangs and no gutters, exhibiting signs of major moisture problems such as blistering paint and extensive mold / mildew on the inside of the house.*
  
7. Lead Based Paint - Presence of lead based paint associated with dwellings built before 1978. State policy mandates that all personnel working directly on dwellings shall participate in a sixteen (16) hour Lead Workers Safety class. Moreover, the presence of lead is an inspection issue and current procedures are designed to identify the presence of lead on Work Orders and work safely in those situations. (See Lead Safe Weatherization Work Practices; Chapter 13.)
  
8. Biologicals - Mold / Moisture or other hazardous items. See #6 above and Chapter 15 for further guidance on Mold / Moisture.
  
9. Combustion Appliances and Combustion Gases Described under Fire Hazards.
  
10. Fire Hazards - current inspection criteria take into account fire hazards associated with combustion appliances including clearances and venting systems. Through fuel specific checklists, inspectors identify such hazards and make repairs accordingly with respect to budgetary and program limitations. Required adherence to

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*appropriate NFPA codes when repairing or replacing equipment also minimizes the potential for fire hazards.*

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

*12. Indoor Air Quality*

- Radon - Since there exists no statewide, regional or local testing initiative, no broad consensus at these levels to address radon and program funding is limited in this area, radon is treated like any other potential site hazard. That is, if a harmful concentration is confirmed by a reputable source such as a health department or the Environmental Protections Agency, safe work practices are deployed. These work procedures will comply to those commonly accepted in the arena of radon treatment. In extreme cases, deferral may be an option.*
- Formaldehyde and Volatile Organic Compounds (VOCs) - Formaldehyde, tobacco smoke, thinners, solvents, cleaners, and any other substances capable of negatively impacting indoor air quality are identified through the On-site inspection process. Basic strategies such as proper storage and ventilation are used to eliminate problems. Air sealing thresholds are maintained so that the presence of these pollutants are not concentrated and allowed to reach toxic amounts. However, this is primarily an occupant responsibility. In some cases, deferral may be an option.*

*13. Electrical Issues - Knob and tube wiring shall not covered or encapsulated with insulation which is in compliance with the National Electric Code. The current*

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*inspection checklist process addresses electrical safety as pertains to Weatherization in all appropriate areas. Inspectors and workers are to required to know electrical code updates and can reference to the Southeastern Field Guide.*

- 14. Code Compliances - All Health and Safety related work is in adherence to nationally accepted codes (NFPA 54, 211, 31, etc.). All regular weatherization work (shell treatments) is in accordance to local building codes and program standards.*

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

- a. The client shall be informed in writing as to why the dwelling cannot be weatherized. If there are conditions that the client must correct before service is provided, those conditions must also be stated in writing.*
- b. The service provider is encouraged 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.*

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

*The head of household of every home to be weatherized receives the informational pamphlet: "Renovating Right". The inspector also conducts a client education segment as part of the initial inspection to assure that the occupants are fully aware of the hazards posed by Lead Based Paint exposure. This procedure is documented by using a signed receipt from the head of household which confirms that the information was not only distributed, but also explained. This receipt is kept in the client file.*

*All workers on site on any Weatherization project, whether they be a crew based employee of*

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*one of the subcontractors or a private sector contractor, must complete a 16 hour Lead Safe Worker Practices Workshop. The aim of this course is to inform the worker about Lead hazards and the proper ways to deal with them, and in doing so, to work in such a way as to not expose client families (and their own families) to these hazards. All crews and contractors are required to carry HEPA vacuum machines, respirators, disposable bio suits, and all other items associated with safe Lead Work Practices.*

*The program manual addresses this area specifically with detailed guidance for on site protocols:*

- Wear a tight fitting respirator and disposable coveralls.*
- Seal work areas within a home with tape and plastic. Cover furniture, carpet, and other surfaces with plastic drop cloths or tarps.*
- Spray water on disturbed areas to minimize dust.*
- Clean up work area each day. Sweep carefully and wet mop as needed. Use a HEPA vacuum cleaner to collect dust and paint chips.*
- Keep children away from work area at all times.*

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

*KY is also aware that more stringent requirements are on the horizon in the area of Lead (both federal and state) and steps have been taken in anticipation of this. Management meetings have been held with the primary training company as well as the state's Health Department to assure that these changes are understood and implemented in the time frames imposed. At this time it is clear that the training efforts will need to be escalated; therefore adequate funds are being built into the program operator budgets to accommodate this. **The development of "Certified Risk Assessor"** per job site appears to be the most significant challenge. Nonetheless, KY has access to excellent training resources and meeting this goal is viewed as doable.*

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

*KY WX does not foresee its designated State Authorities, mainly Kentucky Housing Corporation, to be inclined to offer exemptions in the area of Lead Safe Work. To the contrary, a movement towards a single set of standards appears to be the direction the state is going in. Heretofore, KY WX has been under the radar with respect to oversight from other state agencies because the scope of work associated with the program did not warrant much outside attention. With the more comprehensive rules coming in 2010, that is likely to change. KY WX will most likely be regulated in the same manner that is routine now for federally subsidized housing entities such as the state's Housing Authority system. While the details have not been worked out, KY WX will comply with these standards once they are clearly defined.*

**III.5 Rental Procedures**

***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*

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*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.*

***Definition of Renters***

- *If the applicant can be verified as the sole owner by a deed or a will, the dwelling shall be considered owner occupied.*
- *If the applicant is occupying a dwelling for which he/she is paying mortgage payments or for which he/she has signed a land contract or had entered into a lease with the option to purchase, the property shall be considered owner occupied.*
- *If the applicant applying for assistance has no legal fractional or limited interest in the property being occupied, such property is rental regardless if rent is paid or not.*
- *If the applicant applying for assistance has a legal fractional or limited interest in the property by pays some sort of rent to one or more of the other fractional or limited interest owners, such shall be considered rental.*
- *If the applicant applying for assistance has a legal fractional or limited interest in the property and pays no rent, such property shall be considered owner occupied.*
- *If the applicant applying for assistance does not legally own the property but pays no rent and no other entity pays rent on his behalf, such property shall be considered rental.*

***Owner(s)***

*General. For any rental unit to receive weatherization service the occupants must meet the current income eligibility guidelines. Once eligibility 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*

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*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 a Landlord/Tenant Agreement which clearly states the full cost of weatherization for each living unit receiving services. This document shall be signed by all parties involved (tenant, owner, and agency representative) and kept on file with the agency overseeing the project.*

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

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

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

***Tenant(s)***

*General. For any rental unit to receive weatherization service 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***

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

*Furthermore, a Landlord/Tenant Agreement (WX-?) shall be completed for each household.*

*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 assure that all households weatherized have a direct means of communicating with its representatives during both the weatherization work and the ensuing 18 month rental control phase.*
- 4. The service provider shall inspect, document, and develop work specifications for each living unit using accepted inspection processes and appropriate energy audit software. The service provider shall perform and document a final inspection in which all parties involved must sign off on to verify completeness of and satisfaction with, all work performed.*

***Limitations and Scope of Work***

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

- 1. No service provider shall weatherize more rental units than one third (33%) of its planned completions for a contract year without written approval from KHC. In seeking such approval the service provider must explain how exceeding this cap will benefit the clients that it serves and that in doing so equitable service shall be maintained throughout its entire service area.*
- 2. No owner, developer, or landlord shall receive weatherization service for more than 25 rental*

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*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 or prescriptive list, 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 four-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.*

**III.6 Program Management**

**III.6.1 Overview**

The Weatherization Assistance Program will be administered by KHC. KHC will be responsible for program administration, on-site monitoring, training, technical assistance, planning, contract negotiation, quarterly reporting, processing invoices, contractual and compliance monitoring, manual changes and assistance in formulating policy.

The Cabinet for Finance and Administration will be responsible for final disbursement of funds for the weatherization program.

KHC will contract with the Community Action Kentucky, Inc. (CAK) which will subcontract with the 23 service providers to provide weatherization assistance. CAK will be responsible for the following:

- Preparing subcontracts, with approval from the KHC, for each of the 23 service providers.

- Reviewing audits of the service providers, reconciliation of any funds.

- Preparing reports as directed by KHC.

- Compiling invoices of the 23 service providers into one invoice to submit to KHC and reimbursing service providers after payment is received.

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Representing the Weatherization Assistance Program on DSM collaborative's.  
Providing technical assistance to service providers on planning and invoicing issues.  
The American Recovery and Reinvestment Act ("ARRA") states that all laborers and mechanics employed by contractors under contracts funded in whole or in part through the Act shall be paid wages at rates no less than the wages prevailing for such projects in the locality. *The Department of Labor will require submission of weekly statements of wages paid the prior week, but at a minimum KHC will require contractor and subcontractors to maintain records necessary to document compliance with the prevailing wage requirement.* Such compliance must be certified by CAK with the contractors regular reports to CAK.

**III.6.2 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 the CAK for responsibilities under the contract between KHC and CAK. In determining the amount of additional administrative funds, if any, that may be allocated to qualified service providers, up to the DOE maximum, the administrative burden of each of the service providers in administering the weatherization program will be considered. 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 administer the program.

**III.6.3 Monitoring Approach**

Monitoring will be accomplished in the following manner:

1. 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 throughout 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 Worksheets.

Those service providers receiving \$300,000 or more in weatherization funds may be monitored for sub-contract compliance and financial management.

An annual review of the audit will be performed by CAK. CAK will review the audit schedules related to weatherization, consult with the auditor and reconcile any differences. A

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copy of CAK's audit review will be forwarded to KHC.

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

A monthly desk review of each service provider's Service Cost Worksheet, Completed Dwelling Reports and monthly invoices will be performed. The purpose of the review is to tie invoices to reported completions by comparing expenditures on the Completed Dwelling Reports to the program operations amounts on the invoices. Unless there is a justification as to why the two reports are not in agreement, invoice requests in excess to the line item cost amounts on the Completed Dwelling Reports will be disallowed.

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

- compare the expenditure averages and production rates with planned,
- determine the cost efficiency,
- determine the overhead rate, and
- ensure that expenditure averages per completed dwelling are in compliance with WAP guidelines.

Quarterly, the weatherization staff may meet with CAK to review each service provider's progress, identify those with problems, provide technical assistance where necessary and request a Corrective Action Plan. Those agencies working under a Corrective Action Plan will be monitored closely for signs of improvement.

An on-site dwelling review will be conducted bi-annually by the KHC weatherization monitoring staff on a representative sample of each service provider's completed dwellings to ensure that all work meet WAP standards. Work quality will be evaluated as well as completeness, compliance with NEAT or MHEA 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.)

- An Application and Prioritization for Weatherization, WX-800;
- Income verification;
- Proof of ownership, or
- Landlord Tenant Agreement, WX-2
- Work Order, WX 900 or WX-900P (Private Contractors)
- Completed Dwelling Report, WX-710
- Copy of the NEAT or MHEA audit
- Energy Systems Check List
- Agency Contractor Agreement, WX-14 (Private Contractor)

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Contractor Notice of Completion WX-16 (Private) Contractor)  
Change Order, WX-15, if applicable  
Private Contractor Invoice, WX-17, if applicable  
DNE Eligibility Waiver, Fuel Change Request, WX-910, if applicable  
EPA verification statements regarding Lead and Mold Hazards  
Baseload check list, WX-BLR

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

*An on-site dwelling review will be conducted bi-annually by the KHC weatherization monitoring staff on a representative sample of each service provider's completed dwellings in addition to in-progress monitoring during technical assistance to ensure that all work meets WAP standards. KHC has established a goal of 15 %, or 440 units to be visited each year based on the total funding for production.*

Previous monitoring findings and recommendations will be reviewed 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 interview with the service provider's Executive Director, the Weatherization Program Coordinator and other appropriate staff to review all findings, conclusions, and possible recommendations. Upon completion of a written report, KHC will decide any actions warranted by the monitor's findings.

For fiscal and contract 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 allowability, other resources, invoicing, liability insurance policy, equipment purchase approval and property inventory maintenance. The Financial Director at CAK will monitor the invoices and expenditures on a monthly basis for expenditures to the appropriate fund source. If expenditures exceed the planned budget by more than 10 percent, a budget realignment will be required.

For contractual monitoring, the monitor 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, availability for required training, purchase bidding, listed assurances and certifications and record retention.

KHC will continue to monitor all service providers by reviewing the price they have paid for

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common weatherization materials. Any service provider found to be paying substantially more than other service providers in their geographical area will be required to identify other vendors carrying less expensive materials and begin purchasing from those vendors.

**III.6.4 Training and Technical Assistance Approach**

Training and technical assistance (T&TA) is available and required of all service providers agency personnel and private contractors covering any aspect of operating the Weatherization Assistance Program. Requests can be initiated by a service provider or a monitor. KHC will decide the most appropriate method to provide training and technical assistance.

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.

Training and technical assistance will be provided through on-site visits, regional training sessions or statewide training sessions. Any out-of state training meetings or conferences must receive prior approval.

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 during monitoring visits by the monitoring staff or at any time the service provider encounters a problem. 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.
- 3) On-Site Training will be conducted as needed.

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.

**Certification Training Criteria**

Any service provider weatherization staff assigned evaluation or inspection activities as any

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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 percent for successful completion. 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 being certified, the agency personnel must participate in and complete the following:

**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.

**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.

**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.

**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

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perform all required health and safety tests, test energy systems for operation malfunctions and identify and perform proper corrective measures.

Lead Based Paint Safe Work Practices. Attend and successfully complete 16 hours of lead based paint safe work practices as it pertains to weatherization. Additionally, attend an eight (8) hour refresher course as directed by KHC, and any other DOE required Lead training.

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.

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.

Each service provider is required to have a certified crew leader or other existing field staff to act as backup to the 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.

**III.6.5 Energy Crisis Plan**

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